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ABSTRACT

This student guide together with an instructor guide comprise a set of curriculum materials on the criminal justice system. The student guide contains self-contained instructional material that students can study at their own pace most of the time. Six major subject areas or blocks, which are further broken down into several units, with some units having several sections, are included. The four blocks are (1) law enforcement system (history, code of ethics, constitutional law and law enforcement operations, law enforcement operations, report writing); (2) the courts (court system, criminal justice process, criminal law, juvenile courts); (3) corrections (history, government corrections systems, prison society, probation and parole, jail operations and treatment programs, juvenile corrections); (4) community relations (human relations, crime prevention); (5) proficiency skills (physical fitness, combative and defensive tactics, police short baton, riot response tactics, basic police weapons, rescue tactics); and (6) criminalistics (basic forensic examinations, basic forensic photography, fingerprint technology). Each unit's (or section's) components include introduction, objectives, text, review questions, and/or practical exercise. (YLB)

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ED283942

Student Guide

CRIMINAL JUSTICE SYSTEMS

Block I: **Law Enforcement**
Block II: **The Courts**
Block III: **Corrections**
Block IV: **Community Relations**

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Student Guide

CRIMINAL JUSTICE SYSTEMS

State of Florida
Department of Education
Ralph D. Turlington, Commissioner of Education
Tallahassee, Florida
Affirmative action/equal opportunity employer

Division of Vocational, Adult, and Community Education

August 1985

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This Student Guide includes six blocks of instructional materials. There are several units for each block, some of which are subdivided into sections as indicated in the table of contents.

As you work through this Student Guide, be sure to follow the directions which appear in the following components of the materials:

Pretest

Get the pretest from your instructor **before** you begin to study the materials. Take the test, and then give it to your instructor. The pretest is designed to help you and your instructor to find out what you already know and to tell you what you can expect to learn from the materials. It is **not** designed to give you a grade. If you and your instructor believe that you already know the materials in the unit (or section), your instructor **may** let you skip directly to the posttest.

Introduction

Read the introduction. It is a brief statement of what each unit (or section) is about, and why it is important to Criminal Justice students.

Objectives

Read and be sure you comprehend the objectives for each unit (or section). These are statements of **what you should be able to do after studying the unit (or section).** They are divided into knowledge objectives and performance objectives. Knowledge objectives state factual information or theory that students should acquire as a result of the instruction; performance objectives state hands-on skills students should be able to perform after the instruction. Since the instructional materials and posttests/performance checklists are consistent with the objectives, you should read the objectives carefully and know exactly what you are expected to do after the instruction.

Text

Study the materials provided in the text. The text provides information, theory, and step-by-step procedures you need to know in order to achieve the objectives.

Review Questions

Complete the review questions after you study the text. Do not write your answers on the review test; use your own paper. The review questions are short, self-checkups which let you know how well you have learned the text material written for the knowledge objectives. After completing the Review Questions section, check your answers with the correct ones provided in the Review Questions Answer Key booklet. You may want to discuss the questions and answers with your classmates and instructor, especially those items where you have made mistakes. If you still have problems, you may need remedial instruction.

Practical Exercise

Do the practical exercise following the step-by-step procedures given for each activity. Discuss the procedure and results of your work with your instructor and classmates. If you still have problems, you may need to seek remedial instruction.

The practical exercise is an activity for achieving the performance objectives. Therefore, the practical exercise appears only where there is a performance objective in the unit (or section).

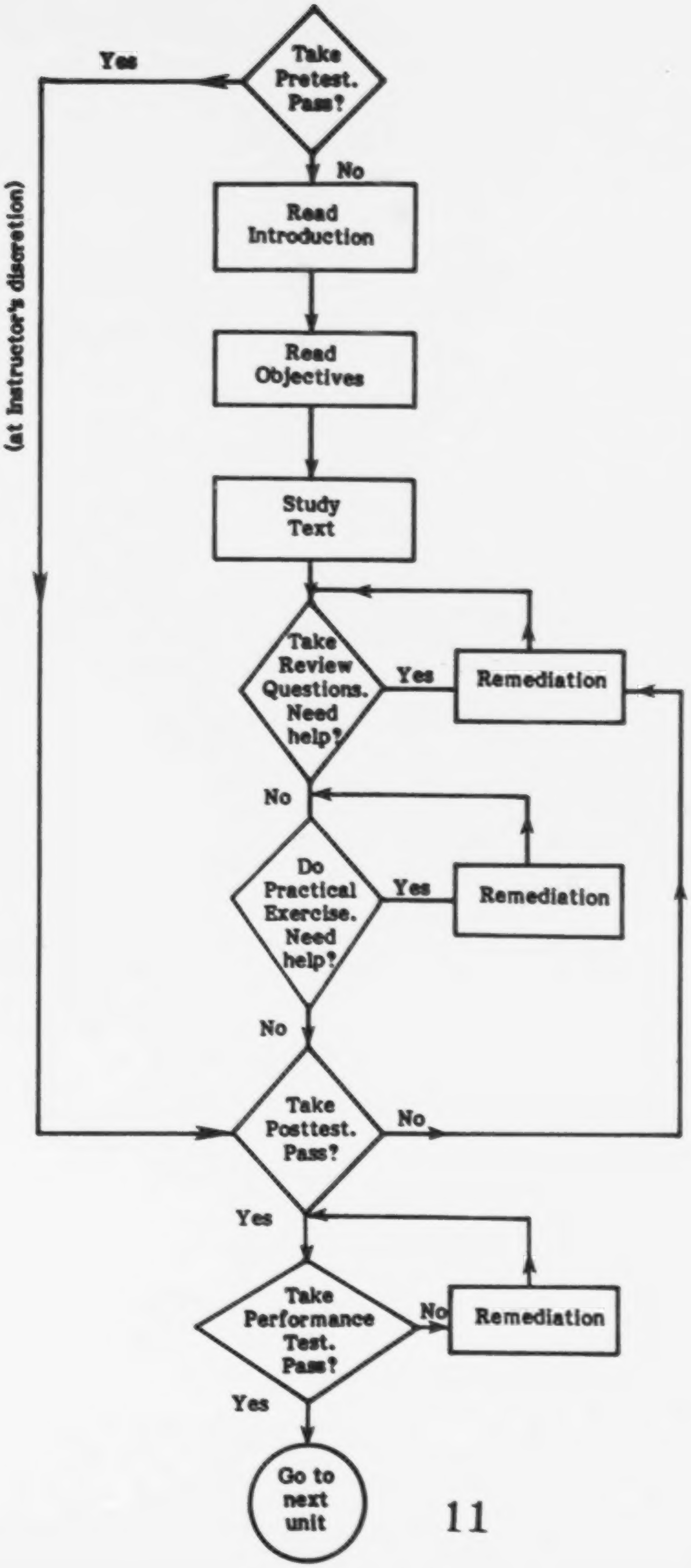
Posttest

Get the posttest from your instructor, complete it, and give the completed test to your instructor. This posttest is designed to evaluate your mastery of the knowledge objectives and to give you a grade. If you did not pass the test, you may need to review the text and/or obtain remedial instruction before taking the posttest again. The second posttest may be an alternate form of the posttest you have taken previously.

Performance Test

After successfully completing the posttest, make arrangements with your instructor for the performance test if there is a performance objective in the unit (or section) of the materials you are studying. Your performance will be evaluated according to a performance checklist. Since the tasks listed in the performance checklist and the performance objectives are the same, you will know in advance what specific tasks will be evaluated in your performance. After successfully completing the performance test, you are ready to move on to the next unit (or section) of the materials.

This suggested procedure for using the Student Guide is illustrated in the following diagram:


Take Pretest. Pass?
Yes
No
(at Instructor's discretion)
Read Introduction
Read Objectives
Study Text
Take Review Questions. Need help?
Yes
Remediation
No
Do Practical Exercise. Need help?
Yes
Remediation
No
Take Posttest. Pass?
No
Yes
Take Performance Test. Pass?
No
Remediation
Yes
Go to next unit

As you begin your study of criminal justice in the United States, you will realize that many of the terms and ideas are already familiar to you. This familiarity occurs because much of what you hear on news programs or read in the newspapers has to do with crimes, the clues associated with crimes, the search for suspects, the apprehension of suspects, the trial and resulting punishment or treatment of the guilty parties. Conflict is at the center of these events; conflict between victim and offender; between those upholding the law and those breaking the law; between those attempting to prove the suspect guilty and those defending the suspect. Conflict and tension capture our attention and hold our interest in these events.

Despite this familiarity, you may be surprised to discover the complexity of the Criminal Justice System. You will see how our basic legal documents insure civil rights and legal procedures to protect the individual. You will learn how society's views on criminal justice have changed and how such changes have been made into laws. You will become aware of the basic tensions in opposing concerns, such as maintaining the balance between individual freedom and the protection of society, or between punishing offenders and helping rehabilitate them so they can overcome the problems which led to their unlawful behavior.

In addition to these topics, you will be instructed in many practical skills, especially in the law enforcement area. These skills include investigating a crime scene, questioning witnesses, patrolling, using laboratory skills, completing reports, and so on. You will then have a better concept of what is involved in the criminal justice field, both in terms of a potential career and becoming a more informed citizen of a law-governed society.

Concept of the Criminal Justice System

Let us begin by thinking about some basic concepts contained in the term, **criminal justice system.**

What is justice? Justice concerns making a fair judgment about another's behavior and the consequences (reward or punishment) for that behavior which follow judgement. According to Black's Law Dictionary, justice is the constant desire to give every man his due. Everyone is considered equal before the law, and all should conform to the requirements of the law.*

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* Black, Henry Campbell, **Black's Law Dictionary**, Fourth edition, (St. Paul: West Publishing Company, 1968).

What is criminal justice? Going beyond a guarantee of justice toward the individual, criminal justice is the broad area in which "society" or "the government" makes decisions about how to treat crime, criminal behavior, and the offender. Its focus is limited to **legal** influences, that is, how the U.S. Constitution, amendments, body of law, courts, and correctional institutions have created and shaped our society's behavior toward lawbreakers. Criminal justice also involves defining the boundary between legal and illegal behavior, defining the civil rights of citizens, and clarifying the proper procedures for police, court, and corrections personnel in their contacts with suspects and offenders.

What is a system? In our daily lives, we are constantly in touch with **systems** of different kinds. Our bodies are made up of many systems, such as the circulatory, skeletal, and nervous systems. We regulate our buildings with heating and cooling systems. We attend school in an educational system. We use the telephone system to make contact with one another, and we can drive from coast to coast using a highway system. Our planet is part of a solar system. What do these systems have in common?

First, systems have **parts** and these parts have different functions. For example, the nervous system is made up of a series of attached parts which are in contact with each other. The receptor organs or sensory nerve cells gather facts about the environment and pass this information on to the nerves. The nerves are attached to the spinal cord, along which the information continues up to the brain. The brain then becomes aware of what those nerve cells found out and directs the body to respond appropriately.

Second, systems also may have a **goal** or **purpose**. The main goal of an organism's nervous system is to protect that organism by supplying important information about the environment. One goal of a communication or transportation system is to help tie together different parts of the country. The solar system has the **purpose** of keeping the planets and sun in balance with each other so that they don't collide or wander off into space.

The parts of a system work together to achieve an overall goal or purpose. These parts are interrelated and interdependent.

What is a system of criminal justice? Putting together the ideas just discussed, we can now see that a system of criminal justice is concerned with the just treatment of both offender and society. The **parts** of the criminal justice system are basically these three: law enforcement, the courts, and corrections. The **main goal** of the criminal justice system is to maintain a safe, orderly society in which the rights of the individual are protected.

Goals of the Criminal Justice System

Each of the three parts of the criminal justice system is actually a system in itself. These three subsystems together form one criminal justice system.

In order to fulfill the main goal of the criminal justice system, each subsystem has to achieve its own goals. These goals are outlined as follows:

Law Enforcement

1. Maintain public order and control criminal conduct.
2. Direct available resources toward the control of those crimes which are the most serious, which stimulate the greatest fear, and which cause the greatest economic loss to citizens.
3. Use efficient and effective methods to discover the crime and apprehend the criminal.
4. Regulate noncriminal activities such as emergency services, rescue operations, safety inspections, etc.
5. Provide personal and community services of a noncriminal and nonemergency nature.
6. Maintain mental and physical fitness.

Courts

1. Provide a neutral setting for a fair settlement of conflicts occurring between two or more parties.
2. Insure that the setting provided is fundamentally fair to all parties concerned and that the hearing is held under prescribed rules of procedure.
3. Provide a system in which an offender can receive an impartial trial and appropriate treatment or punishment.
4. Provide a process through which both parties may appeal a decision if they believe the constitutional guarantee of fundamental fairness has been violated.

Corrections

1. Provide the facilities and personnel to carry out the decisions of the criminal court concerning the treatment or punishment of the offender.
2. Provide separate facilities and personnel for juvenile offenders.
3. Research and develop effective methods of rehabilitation which provide protection for society while correcting the criminal behavior patterns of adult and juvenile offenders.
4. Confine indefinitely those offenders whose behavior patterns are so fixed that they do not respond to rehabilitative efforts.

In making decisions that affect your future, it is helpful to keep three things in mind: what kind of person you are, what kinds of tasks you like to do, and what the requirements of a particular job are.

Consider Yourself

Knowing yourself is one of the greatest aids in choosing a career. Everyone has a unique combination of interests, talents, skills, and learning abilities. Discover these essential things about yourself, and you will be better able to make those important decisions that affect your future. Planning your future is an exercise in imagination. Choose a role and try to imagine how you would feel in that role and how you would carry out the tasks of the job. Does the job involve interesting tasks you would like to do, or is there little challenge for you in its requirements? Do you see the job as an important one because it helps people, and do you like working with people? Would you feel impatient if you were confined to a desk job? Do you work well under stressful emergency conditions? Do you like challenging and possibly dangerous situations? Would you enjoy gathering information in a library and preparing legal arguments for a trial? Would you like presenting these arguments in defense of someone on trial? There are many kinds of jobs and tasks involved in criminal justice occupations.

Careers in Criminal Justice

In addition to knowing yourself and the kinds of tasks you would enjoy, it is also important for you to find out what a particular job is like and any preparation needed for it. As we have discussed, the criminal justice system consists of three distinct, yet interrelated, subsystems: law enforcement, the courts, and corrections.

Many different types of jobs may be found within each of these subsystems, and people with varying skills and educational backgrounds may find interesting and rewarding positions. Let us look briefly at some of the career opportunities in the criminal justice system.

Opportunities in Law Enforcement. Within the law enforcement subsystem, the most visible employees are the law enforcement officers. Their duties and assignments can vary by location and specialization. Law enforcement officers, for example, can be members of the marine patrol, immigration and naturalization service, park service, or local police. They can be employed by any level of government: city, county, state, or federal. Law enforcement personnel are supported by a vast network of other personnel who serve in investigative, legal, and administrative capacities. Presently, there is a great need for persons with specialized technical skills. Technicians are needed, for example, in computer programming, systems analysis and data entry, forensic photography, and crime laboratory analysis techniques.

Opportunities in the Courts. The most prominent positions within the courts are the judges and attorneys. Judges are employed by the government, but attorneys may be either privately or publicly employed. Public defense attorneys, who represent those who cannot afford a private lawyer, and prosecution attorneys, who represent the state's cases, are both lawyers working for the government. In addition to these highly visible personnel, there are others who work in the courts as court reporters, bailiffs, court clerks, and juvenile counselors.

Opportunities in Corrections. The corrections subsystem offers a variety of jobs as well. The probation and parole officer is the most visible in this area. S(he) has direct contact with offenders on probation or parole, and is responsible for helping them readjust to society. In previous years, this job was rather unrewarding because the options for the offender were very few. Now the probation and parole officer has many more options for the offender, such as treatment and work programs. In years past, caseloads have been very heavy, placing officers under the stress of having to deal with too many offenders. Now officers have been given more time to work with each case. Other kinds of jobs in corrections include managers and administrators at various levels, jail and prison guards, planners and researchers, and support staff.

Preparing For a Job in the Criminal Justice System

We have mentioned that in thinking about career possibilities, you should consider what tasks you like and what is involved in the various jobs. As you continue in this program, you will learn much more about jobs in the criminal justice field. Another point to consider is the educational preparation and the training which might be required.

The numerous and varied opportunities within the criminal justice system require many different kinds of educational preparation. You might prepare for the entry level positions by taking related courses in high school or at a community college. Positions at the professional level usually require a four-year college degree, from which you may choose to go on to graduate work or law school.

At the high school or community college levels, you should consider taking courses in these areas:

- Basic skills—reading, writing, and verbal communication (speech)
- Specific academic skills—psychology, sociology, political science, English, languages, applied mathematics
- Physical skills—sports, physical conditioning, self-defense, and combat skills (judo, karate)

If your career goals include a professional level position, you might consider obtaining a college degree in an area such as criminology, social work, or psychology. If you plan to attend law school, you would probably enroll in a prelaw program to prepare for law school. Some positions in the criminal justice system require postgraduate work, leading to masters or doctorate degrees.

To find out more about the job you might be interested in, talk with people who already hold the position. Check with them concerning what the job involves, what they like or dislike about it, and what kind of preparation they would recommend.

As we have discussed, there are many opportunities at all levels within the criminal justice system. You should consider the interests, talents, and skills that you have and the training and education you are willing to pursue; then match those to the kind of job which would be most interesting and rewarding for you. You should check on the kind of training and education required, and plan to make the commitments necessary to reach those goals.

Orientation to the Criminal Justice Systems Curriculum Materials

We have discussed the criminal justice system, its primary goal, its three subsystems, and career opportunities in the system.

These curriculum materials are designed to help you become aware of, and prepare for, the tasks and skills involved in jobs in the criminal justice system. The law enforcement system is covered in the following four blocks:

Block I: Law Enforcement System
Block IV: Community Relations
Block V: Proficiency Skills
Block VI: Criminalistics

The court system is covered in Block II and the corrections system in Block III. As you progress through these blocks, you should keep in mind that the three subsystems always work together.

In Block I, we will study the history of law enforcement including its ethical codes; the constitutional laws which affect law enforcement operations (especially the First, Fourth, Fifth, and Fourteenth Amendments); and law enforcement operations such as patrol duties, crime scene procedures, accident investigations, search and arrest techniques, and report writing.

In Block II, we will study the American court systems (federal, Florida, and local court systems); pretrial, trial, and posttrial processes; criminal law which includes constitutional foundations, Florida criminal law, and criminal procedures; and the juvenile court system.

Block III contains a brief history of the corrections system; a discussion of the three main levels of corrections (federal, state, and local); prison society; probation and parole; jail operations; and the juvenile corrections system.

In Block IV, we will examine the role human relations play in the daily conflicts law enforcement officers deal with, as well as community crime prevention programs and the prevention of crime through planning and managing the architectural and physical environment.

Block V covers physical fitness, combative tactics, police short baton, riot response tactics, and rescue tactics. Since many criminal justice occupations require a high level of physical fitness and physical strength, all students in a criminal justice program should be aware of the fitness programs and proficiency skills which law enforcement officers and correctional officers should attain and maintain throughout their careers.

The last block, Block VI, has three units covering basic forensic laboratory techniques, forensic photography, and fingerprint techniques. The purpose of studying forensic laboratory skills is to help you understand the tasks performed in crime laboratories. You will study basic forensic photography because of the camera's importance as a basic tool of criminal investigation. In the third unit, you will study fingerprinting, the only positive means of identifying suspects. Nearly all criminal justice occupations require the knowledge of fingerprint techniques.

LAW ENFORCEMENT SYSTEM

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Block I: Law Enforcement System

Unit A: History of Law Enforcement

Ask your instructor for the pretest for this unit (I: A). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Identify the tithing system used in English shires.
2. Recognize the traits and duties of the keepers of the peace, watch and ward system, shiver and shake night watch, Bow Street runner, Bow Street horse patrol, and Metropolitan Police of London (New Police).
3. Identify the roles and duties of the French police.
4. State at least four programs established by the French police that are still in use.
5. Name the first American police force and the city where it was formed.
6. Identify the American city where the first full-time, paid police service was established and the model system it followed.
7. State the year by which most American cities had full-time police forces.
8. Identify the main difference among the development of police systems in the United States and other countries.
9. Describe two main problems of the American police system in the late nineteenth century.
10. Identify both the law which established regulations for police personnel hiring and the consequence of hiring regulations in the United States.
11. Identify the factors which affected the development of police standards and certification in the United States.
12. Identify the origin of the term "police."

Law Enforcement in England

Tithing System

During the Middle Ages, a **tithing** system was developed in England. Each community was divided into groups of ten families called tithings. Each member of the tithing was responsible for the protection as well as the behavior of other members of the group.

Later, England developed the tithing system even further by dividing the kingdom into **shires** or counties. A **reeve**, a chief officer of a shire, was responsible for law and order in the shire and reported directly to the king. (The word "sheriff" comes from the two words "shire" and "reeve.") Each shire was divided into 100 groups headed by a hundred-man, who was later called a high constable. Each group was broken down into tithings (ten families), each of which was headed by a **chief tithingman** elected by the ten families. This system continued into the twelfth century when the chief tithingman came to be called a **constable.**

Even though this system gave the responsibility for enforcing law and maintaining order to the group and its representatives, there were problems. Because all members of a tithing were responsible for the criminal acts of all other members, people did not always report crimes. In addition, each man was responsible for serving on patrol as a night watchmen to protect the town. This job was unpopular, and people would hire others to take their places on the watch. Even though these hired watchmen worked for the constable, he very seldom checked on them, so they often slept through the watch (see Figure A-1). To prevent this, watchmen were required to call out the time and weather on the hour.

Keepers of the Peace

In 1195, King Richard I issued a proclamation entitled "Keepers of the Peace." Knights were appointed to stand guard at gates and bridges. They checked everyone entering or leaving town or crossing bridges to insure that unwanted people would be kept out of the kingdom.

Watch and Ward System

About 100 years later, at the end of the thirteenth century, a law called the Statute of Winchester was passed. This statute introduced the **watch and ward** system for guarding a walled town which required a watchman to be in a guardhouse at each gate in the wall from sunset to sunrise.

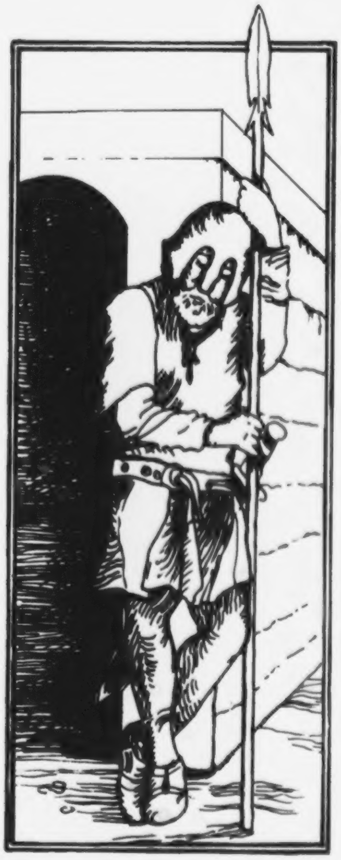

Figure A-1
Hired Watchman Doing An Irresponsible Job

This system also brought back the use of the **hue and cry**, an ancient custom brought to England by the Saxons. When a person noticed a crime being committed or a felon escaping from a jail, s(he) was required to sound an alarm using a horn. All men who heard the horn were also required to sound their horns and join in active pursuit of the felon.

Shiver and Shake Night Watch

In 1663, King Charles II hired 1,000 night watchmen to patrol the streets of London. They carried long staves with lanterns on the top, and every hour they would call out the time and the weather conditions.

Most of these watchmen were old and weak. They shivered half the night from the cold and shook the other half from fear. Consequently, they were called the **shiver and shake night watch**. Although they were supposed to pursue criminals, the night watchmen often wished to avoid them; for this reason they sometimes carried noisy rattles to warn the criminals of their approach (see Figure A-2). Because of the ineffectiveness of these watchmen, many merchants banded together and organized their own security force, which they called the merchant police.

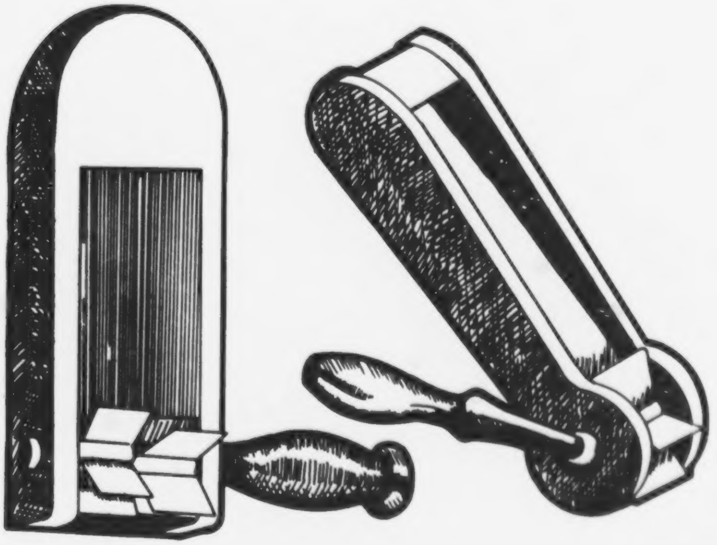

Figure A-2
Rattles Carried by Shiver and
Shake Night Watchmen

Bow Street Runners and Horse Patrol

In 1748, Henry Fielding, Chief Magistrate at Bow Street in London and well-known author, recognized the need for an organized police force. He appointed a high constable to supervise six constables under his authority. By the end of the eighteenth century, the number of constables had increased to 70 and had become known as the **Bow Street runners.** They were also known by the nickname, the "Thief Takers," because they took thieves to jail.

At about the same time, the **Bow Street horse patrol** was formed to patrol the main roads leading into London. They were armed with pistols, sabers, and truncheons (clubs).

Metropolitan Police of London (New Police)

The Bow Street runners eventually became ineffective as crimes increased. Parliament passed the **Metropolitan Police Act** in 1829 to deal with the problem of law enforcement, and **Sir Robert Peel,** England's Home Secretary, founded the **Metropolitan Police of London,** also called the **New Police.** The New Police were the first uniformed paid police, and in Peel's honor they came to be known as "bobbies," capitalizing on his nickname "Bobby."

At first the people of London did not like the New Police, and complaints about them were expressed in the London Times. Eventually, recruits for the New Police began to come from Ireland. Because of the prejudice against Irish Catholics, resentment toward the Metropolitan Police increased even further.

The English people were not accustomed to strict policing as practiced by Sir Robert Peel, and they began to accuse him of being a dictator. Some even suggested that he was plotting to overthrow the government. Peel's New Police were derided as "Peel's Bloody Gang," "Blue Devils," and "Dirty Papists." People often threw rotten apples and bricks at the police as they patrolled the streets of London.

In order to enter the force, one had to be able to read and write. The pay was low, and turnover was high. In 1829, 2,800 men were recruited, but 1,790 were dismissed because of job pressures. Due to the stresses from resentment of the people, many officers turned to drinking and had to be dismissed for being drunk on duty.

The New Police were constantly under attack. It was rumored that they were armed, but the only weapon they carried was the truncheon or club, and this was used only in emergencies.

Once the London people realized these policemen did not carry guns, attitudes toward the New Police started to change. Police professionalism began to develop as supervisors demanded higher standards from their employees. These standards, Peel's reforms, were the origin of what we now call the **Police Code of Ethics.**

Law Enforcement in France

England was not the only country with an organized police force. Police existed in France as far back as the Roman Empire. France, then the province of Gaul and a part of the Roman Empire, was governed by the Emperor Augustus Caesar's ideas concerning policing. France gave the police extensive control over matters such as:

- price controls
- welfare
- public morals
- judging offenders

Today many of these duties are considered civil responsibilities. Since the police's power came directly from the emperor or the king rather than from the community (as in the English and American systems), the police were under strong central control.

In Paris during the sixth century, two types of patrols were developed:

- the Citizen's Night Guard to patrol the streets of Paris
- the Royal Guard to protect the king

The motto given to the Royal Guard by King Louis IX (thirteenth century) says, "Vigilat ut Quiescant," which means "he watches that they may sleep." These words are still worn on the emblem of the French police today.

Until the French Revolution, the French police were very strict in their enforcement of the king's law. Our term "**dossier**" came from the French police practice of compiling files on many citizens. Police spying on the French people became a common practice.

However, the French police also established many procedures and programs which are in use today, such as:

- emergency rescue units
- police ambulance system
- street signs
- street lights
- house numbers
- children's hospitals
- help in finding work for the unemployed
- schools for the poor.

In 1791, the French police established a position called the **Officers de Paix** or peace officers. These officers were issued warrant cards which identified them and gave them the authority to make arrests.

Although credit for organizing the first police force is often given to Sir Robert Peel's Metropolitan Police Act of 1829, six months prior to that, in 1828, Louis-Marie Debelleyme organized the **Prefect of Police** in France. This force consisted of 100 uniformed officers called **Sergents de Ville** or servants of the city. For their protection, they carried a walking cane during the daytime and a sabre at night.

It should be noted that although the French and English police systems developed along similar lines, the French police's authority came from the king or central authority and the authority of the English police came from the community.

Law Enforcement in the United States

When the colonists came to America, they brought with them many of the customs and laws of their native lands, including their methods of law enforcement. Since most of the colonists were English, English police traditions prevailed in the New World.

As the United States developed, the country found itself split into two regions, the industrial north and the agricultural south. Life in the northern region was more urban than in the South, so the **watchman (or constable) system** of policing grew. In the South, the **sheriff system** of policing took hold.

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dossier: a collection of detailed documents relating to some person.

Night Watch

At the end of the eighteenth century when there were still only a few large cities, the **night watch** was the recorded type of police duty. In 1636, Boston formed the first night watch, which required all able-bodied males of 16 years or older to stand this watch without pay. New York began the Ratelwacht 20 years later in 1656. In 1700, Philadelphia established a watchman system in which citizens were obligated to take turns being watchmen.

The colonists had the same problem with the watchmen that had occurred earlier in England: they often slept on duty. After a time, watch duty began to be assigned as a punishment for committing a crime.

Full-Time Law Enforcement

After 1800, full-time police departments became more common in the United States because of riots and disturbances occurring in major cities. In 1800, New York City organized the first professional police force responsible for 24-hour patroling. In later years, New York was influenced by Sir Robert Peel's Metropolitan Police Act of 1829, as were many other major cities such as Philadelphia, Boston, San Francisco, and Chicago. By 1870, most American cities had established full-time police forces.

Unlike other countries, the United States developed police agencies at the local level instead of at the national level. As the country moved west, law enforcement continued to organize at local levels. The **posse**, a group which gathered temporarily to assist the local sheriff, was derived from a medieval English legal process. This was called the posse comitatus, meaning "power of the county," and it gave the local government the right to summon assistance to enforce the laws. In the West, the sheriff could gather townspeople to form a posse which could help him chase down a fugitive criminal. This was nearly the only form of law and order until organized police departments were established.

State Police

To combat the outlaws and criminals of the day, states developed state police forces to assist the sheriff or local police departments. The first state police were the **Texas Rangers**, established in 1835. Pennsylvania organized its state police in 1902, and the Michigan State Police was formed in 1915. The federal government did not become involved with law enforcement until 1924 when the **Federal Bureau of Investigation** was formed. Prior to that, the Postal Inspections Office (established in 1829) handled some criminal activities, but most of the crime fighting was the responsibility of local, county, or state governments. The major problem that plagued policing in the United States was political involvement. During the late nineteenth century and the beginning of the twentieth, police officers were usually hired on the basis of political

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posse: a body of persons summoned by the sheriff to assist in preserving peace.

influence, regardless of their qualifications. The election of police officers also created problems in law enforcement. The officer often would not act for fear of offending someone and possibly losing the next election.

Pendleton Act and the Civil Service

To solve the problem of hiring and screening new employees, cities and counties looked to the federal government for guidance. In 1883, the **Pendleton Act** was passed which established the Civil Service for federal employees. The act gave the government a tool for regulating the hiring of personnel and lessened the influence of politics on the hiring of police. Once candidates were required to pass tests of ability, police forces became more effective in enforcing the laws. Before the implementation of this act, the police officer's job was primarily to maintain order.

Use of Technology in Law Enforcement

During the first part of the twentieth century, police departments started developing and modifying many of the new inventions being used in law enforcement. Some examples are:

- automobiles as a part of patrol
- telephones in call boxes for foot patrol officers
- radio receivers in patrol cars to receive calls
- two-way radios in patrol cars for the officer to talk to headquarters.

During the 1930s, when the prohibition amendment was in effect, police were disliked because they had to enforce a very unpopular law. The **stigma** that period placed on law enforcement remained until the end of World War II.

Police Standards and Certification

Following World War II, many men who had served in the military police units started looking toward law enforcement as a career after discharge from the service. As they returned to their home towns, the small towns grew larger, increasing the need for more qualified police forces.

The government passed the **G.I. Bill**, and more people were able to go to college. After the Korean conflict, the government passed the Law Enforcement Education Program (LEEP) to help pay for the education of new applicants to the law enforcement field and to educate officers already employed.

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stigma: a mark of shame or disgrace.

G.I. Bill: laws which provided financial support to help returning military personnel find a place in society (for education, housing, etc.).

With more opportunities for higher education, an increased need for quality police forces, and the interest of military veterans in law enforcement as a career, police agencies were able to choose qualified people from among many applicants. In order to ensure that police officers were qualified, many states began to establish **certification** of police officers. Standards are established by commissioners or boards and applicants must meet these standards in order to be certified.

NOTE: To be a police officer or a corrections officer in the State of Florida, you must pass the police or corrections officer recruit training course and be certified by the Florida Criminal Justice Standards Training Commission.

Origin of Some Popular Terms

The origin of the term "police" is the Greek word politeia, which means the government of the city and applied to civil officers who ran the city. Later, in the Latin language of the Romans, the word became politia; in French it became police and was applied to people who enforced the law. England and later the United States adopted the French word police.

Original meanings of other words used for law enforcement officers are:

- patrol—derived from the French word patrouiller, which means to go through puddles
- cop—derived from a northern British expression which means constable on patrol or chief of police
- copper—a term used to describe the badge that officers wore on their shirt or outer garment.

Summary

History of Law Enforcement

In England:

1. tithing system
    - groups of ten families (tithing)
    - each member of the group responsible for other members
    - reeve responsible for law enforcement in each shire
    - tithing system of patrol in each shire
    - hired night watchmen who call out time and weather every hour
2. keepers of the peace (late twelfth century)
    - knights guarding gates and bridges to keep unwanted people out of the city or kingdom

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certification: a declaration that something is true or accurate.

3. watch and ward system (late thirteenth century)

   - Statute of Winchester
   - watchmen in guardhouse of each gate from sunset to sunrise

4. shiver and shake night watch (seventeenth century)

   - night watchmen patrolling the streets of London

5. Bow Street runners and horse patrol (eighteenth century)

   - an organized police force consisting of constables supervised by a high constable
   - armed horse patrol

6. New Police

   - Metropolitan Police of London (New Police) founded by Sir Robert Peel through Metropolitan Police Act of 1829
   - the first paid police organization

NOTE: Authority of the English police came from the community.

In France:

- two types of patrol: citizens' night guard and royal guard (sixth century)
- established officers de paix (peace officers) in the eighteenth century
- established many programs still in use today such as emergency rescue units and police ambulance system

NOTE: Authority of the French police came from the king or central authority.

In the United States:

- night watch without pay in big cities
- first full-time police service in New York in 1800, patterned after English Metropolitan Police Act of 1829
- Pendleton Act of 1883 — police hiring regulations and actual beginning of police law enforcement jobs
- use of technology in law enforcement, such as automobiles and two-way radios
- establishment of police standards

Now complete the review questions beginning on the next page.

Review Questions (I: A)

Write your answers on a separate sheet of paper.

1. Which of the following describe the tithing system? (Choose all correct answers.)
    a. The community was divided into groups of ten families.
    b. It was also called the Magna Carta.
    c. Each member of the group was responsible for protection of other members.
    d. A chief officer of the community, called a reeve, was responsible for protection of the members of the community.

2. What is the origin of the term "sheriff"?
    a. "share" and "responsibility," where each member of the community shared responsibilities of protecting each other
    b. "shire" and "reeve," when a reeve was responsible for maintaining order within a shire in England
    c. "shake" and "leave," when in ancient times a man shook a rattle for help, so that all men who heard it would leave what they were doing to help
    d. "share" and "reeve," where several communities shared one reeve, who was the chief officer under the king

3. What were the problems of the tithing system in England? (Choose all correct answers.)
    a. The high constable governed the whole shire and was not accountable to anyone.
    b. People did not report all crimes because all members of a tithing were responsible for the criminal acts of each member.
    c. People hired others to take their watch at night, and the hired watchmen did not do a responsible job.
    d. Only young men were required to patrol at night.

For questions 4-8: The following systems were used in England. Match the systems in the left column with the descriptions in the right column. Write the letter of the description by the number of the system on your paper.

Systems	**Descriptions**
4. keepers of the peace	a. patrolled the main roads of London on horseback, armed with pistols
5. watch and ward	b. an organized police force consisting of constables
6. shiver and shake	c. knights who guarded gates and bridges to keep unwanted people out of the kingdoms
7. Bow Street runner	
8. Bow Street horse patrol	

(continued on next page)

d. watchmen who patrolled the streets of London at night, calling out the hour and weather conditions
e. system introduced by the Statute of Winchester to guard a walled town by placing a watch in a guardhouse at each gate

9. Which **three** of the following describe the New Police which were organized in England in the nineteenth century?

   a. It was based on the Metropolitan Police Act of 1829.
   b. England's Home Secretary, Sir Robert Peel, founded it.
   c. Many police officers quit the job or turned to drinking because of the pressure and the people's resentment.
   d. All police officers carried guns and clubs to help them arrest criminals more easily.

10. Which **two** types of patrols policed Paris during the sixth century?

    a. Citizens Night Guard
    b. watch and ward patrol
    c. Royal Guard
    d. Vigilat ut Quiescant

11. List **four** programs we use today which were established by the French police.

12. The authority of the English police came from the ______, but the authority of the French police came from the ______.

13. America developed the ______ system of police in the North and the ______ system in the South.

14. Which city developed a full-time police force after the Metropolitan Police Act of 1829?

    a. Philadelphia
    b. Boston
    c. New York
    d. Chicago

15. What was the main difference between the development of the police system in America and that of other countries such as England and France?

    a. establishment of the sheriff system in America vs. police system in other countries
    b. requirement of uniforms in America vs. nonuniformed police in other countries
    c. police's right to arrest criminals in America vs. police's duty to report crimes to the high constable or the king in other countries
    d. development of police agencies at the local level in America vs. at the national level in other countries

16. Which **two** of the following were problems of the American police system?

    a. hiring police officers on the basis of political influence
    b. involvement of a national law enforcement agency, the Federal Bureau of Investigation (FBI), in some of the local crimes
    c. election of police officers
    d. requirement of police officers to wear uniforms

17. In order to hire qualified police officers, the American government passed the _______ Act in 1883 which established _______ regulating hiring procedures.

18. Which **three** of the following contributed to the establishment of police standards and certification in the United States?

    a. service in the military police during and after World War II
    b. need for more qualified police forces
    c. more opportunities for better education
    d. end of World War II and Korean conflict

19. What is the origin of the term "police"?

    a. French word patrouiller which means to go through puddles
    b. Roman word politisum which means constable on patrol
    c. English word polis which means city government
    d. Greek word politeia which means the government of the city and applied to civil officers of the city

Check your answers with the correct ones provided in the answer key.

Ask your instructor for the pretest for this unit (I: B). After you complete the pretest, your instructor will let you know whether to study this unit or to take the posttest.

Introduction

In order to become more familiar with the duties and responsibilities of law enforcement officers, you should know the ethical standards an officer is expected to uphold. In this unit, we will discuss several law enforcement codes of ethics.

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Identify the purpose for the development of a code of ethics for law enforcement officers.
2. Complete statements about the Police Code of Ethics by filling in the blanks.
3. Match the articles of the Canons of Police Ethics to statements which explain them.
4. List at least four principles appearing in the three police codes of ethics.
5. Given examples of situations which might confront a law enforcement official, identify the appropriate ethical action to take in each situation.

The **Peelian Reforms** developed in England may be considered the first code of ethical conduct for law enforcement personnel. In 1954, the **Police Code of Ethics** was introduced to American police officers, and in 1956 the **Canons of Police Ethics** were developed to encourage a professionalism for law enforcement officers.

The Peelian Reforms

The **Peelian Reforms** as contained in the Metropolitan Police Act of 1829 formed the foundation for later codes of **ethics**. The reforms include the following principles:

- It should be understood that the principle object is to prevent crime.
- Every effort of the police is to be directed toward this goal of prevention. The security of persons and property and the preservation of a police establishment will be better effected in this way than by the detection and punishment of the offender after the fact.
- The constable will be civil and obliging to all people of every rank and class.
- The constable must be particularly cautious not to interfere idly or unnecessarily in order to make a display of his authority.
- When required to act, he will do so with decision and boldness.
- He may exploit all occasions for the fullest support in the proper exercise of his authority.
- He must remember that there is no qualification so indispensable as a perfect command of temper.
- He shall never suffer himself to be moved in the slightest degree by any language or threats that may be used.
- If he does his duty in a quiet and determined manner, such conduct will probably excite the well-disposed of the bystanders to assist him if he requires them.
- Particular care is to be taken that the constables of the police do not form false notions of their duties and powers.

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ethics: a set of moral principles or values.

In 1954, the **Police Code of Ethics** was introduced in the United States to provide guidelines to law enforcement personnel for the performance of their duties and for the measurement of their work and attitudes against an acceptable standard. The Police Code of Ethics provides that a law enforcement officer accept these attitudes:

1. "My fundamental duty is to serve mankind: to safeguard life and property; to protect the innocent against deception, the weak against oppression or intimidation, and the peaceful against violence or disorder; to respect the constitutional right of all men to liberty, equality, and justice."
2. "I will never act **officiously**."
3. "I will maintain courageous calm in the face of danger, scorn or ridicule, and develop self-restraint."
4. "I will never employ unnecessary force or violence."
5. "I will never permit personal feelings, prejudice, **animosities** or friendships to influence my decisions."
6. "I will keep my private life **unsullied** as an example to all."
7. "I recognize the badge of my office as a symbol of public faith, and I accept it as a public trust to be held so long as I am true to the ethics of police service."
8. "With no compromise for crime and with relentless prosecution of criminals, I will enforce the law courteously and appropriately without fear or favor, malice or ill will."
9. "I will never accept **gratuities**."
10. "Whatever I see or hear of a confidential nature or that is confided to me in my official capacity will be kept ever secret unless revelation is necessary in the performance of my duty."
11. "I will constantly strive to achieve these objectives and ideals, dedicating myself before God to my chosen profession, Law Enforcement.

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officiously: in a meddlesome manner.

animosities: ill will or resentment tending toward active hostility.

unsullied: spotlessly clean, not stained.

gratuities: something given voluntarily or beyond obligation usually in return for or in anticipation of some service.

Canons of Police Ethics

The professional status of law enforcement careers was further enhanced in 1956 by the writing of the **Canons of Police Ethics**. These canons are composed of the following eleven articles:

• **Article 1.** Primary Responsibility of Job:	The law enforcement officer's primary responsibility is the protection of the people of the United States.
• **Article 2.** Limitations of Authority:	The American system of government does not give absolute power to any person or any institution. The officers must take care not to **pervert** its character, especially since they are prime defenders of that system.
• **Article 3.** Duty of Being Familiar with the Law and with Responsibilities of Self and Other Public Officials:	The officers should **assiduously** study the principles of the laws, their responsibilities in the particulars of law enforcement, and their relationship to other public officials, especially on the matters of jurisdiction.
• **Article 4.** Utilization of Proper Means to Gain Proper Ends:	The officers should not employ illegal means, no matter how worthy the end. If the law is to be honored, it must first be honored by those who enforce it.
• **Article 5.** Cooperation with Public Officials in the Discharge of Their Authorized Duties:	The officers should cooperate fully with other public officials in the discharge of authorized duties, regardless of party affiliation or personal prejudice.
• **Article 6.** Private Conduct:	Law enforcement officers should lead the lives of decent and honorable persons. They will conduct their private lives in such a way that the public will regard them as examples of stability, fidelity, and morality.
• **Article 7.** Conduct toward the Public:	The officers shall conduct their official lives in a manner which will inspire confidence and trust. They will give service to the people from neither preference nor prejudice but rather as duly appointed officers of the law, discharging their sworn obligations.

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to pervert: to corrupt.

assiduously: marked by careful, unremitting attention or persistent application.

• **Article 8.** Conduct in Arresting and Dealing with Law Violators:	The officers shall use their powers of arrest strictly in accordance with the law and with due regard to the rights of the citizens concerned. They should, at all times, have a clear appreciation of their responsibilities and limitations regarding detention of the violators.
• **Article 9.** Gifts and Favors:	The officers, representing government, should be firm in refusing gifts, favors, or gratuities, large or small, which can be interpreted as capable of influencing their judgment in the discharge of their duties.
• **Article 10.** Presentation of Evidence:	The officers should be equally concerned with the prosecution of the wrongdoer and with the defense of the innocent. They should ascertain what constitutes evidence and should present such evidence impartially and without malice. The officers should make special efforts to increase their perception and skill of observation, because in many situations they bear the sole impartial testimony to the facts of a case.
• **Article 11.** Attitude toward the Profession:	The officers should regard their duties as a public trust and responsibility as public servants. They should strive to make the best possible application of science to the solution of crime and strive for effective leadership and public safety. They should appreciate the importance and responsibility of their office, and hold police work to be an honorable profession, rendering valuable service to their community and country.

Summary

Law enforcement codes of ethics have been developed to provide a foundation for acceptable standards of professional performance and personal conduct, and to provide guidelines to fulfill these acceptable standards. The English Peelian Reforms of 1829 formed the foundation of modern American standards such as the Police Code of Ethics (1954) and the Canons of Police Ethics (1956). All of these codes include the following concepts:

- the primary responsibility is the protection of life and property
- equal service to everybody
- limitation of authority
- warnings against the misuse of power
- cooperation with other public officials
- exemplary private and personal conduct

Law enforcement officers must uphold and enforce the law without misusing their powers, and they must be judged by their performance in both their public and private lives.

Now complete the review questions beginning on the next page.

Review Questions (I: B)

Write your answers on a separate sheet of paper.

1. What is the purpose for developing a law enforcement code of ethics?

For questions 2- 4, select word(s) from the list below to complete correctly each statement concerning the Police Code of Ethics. Write the word(s) by the question number on your paper.

Word List

charity
constitutional
election
equality
ethics
faith
force
justice
liberty
life
malice
trust
victory
violence

2. The fundamental duty of a law enforcement officer is to safeguard ______ and property and to respect the ______ right of all men to ______, ______, and ______.

3. Law enforcement officers should never employ unnecessary ______.

4. As a law enforcement officer, "I recognize the badge of my office as a symbol of public ______, and I accept it as a public ______ to be held so long as I am true to the ______ of public service."

For questions 5-11, select word(s) from the list below to complete correctly each statement concerning the Canons of Police Ethics. Write the word(s) by the question number on your paper.

Word List

accept
affiliation
authority
confidence
impartially
limitations
malice
prejudice
private
public
refuse
responsibilities
trust

5. A law enforcement officer's ______ conduct must be just as respectable as his/her professional conduct.

6. Officers should cooperate fully with other public officials in the discharge of authorized duties, regardless of party ______ or personal ______.

7. A law enforcement officer must present evidence ______ and without ______.

8. Officers should have a clear appreciation of their ______ and ______ regarding arrest of violators.

9. A law enforcement officer should ______ all gifts, large or small.

10. The American system of government limits the ______ of its officers and institutions.

11. Every law enforcement officer must conduct himself/herself in such a manner as will inspire ______ and ______.

12. List **three** codes of ethical conduct developed for law enforcement officers.

13. List **four** principles which are included in each of the three codes of ethics.

For items 14-24, match the behaviors listed on the left to the appropriate article of the Canons of Police Ethics listed on the right. Write the letter of the article by the behavior number on your paper.

Behavior

14. refuse free dinners
15. give testimony impartially and without malice
16. regard duties as a public trust
17. appreciate responsibilities and limitations
18. inspire confidence and trust
19. be an example of stability, fidelity, and morality
20. disregard personal prejudice or party affiliation
21. honor the law
22. protect the people
23. have no absolute power
24. know the jurisdiction of responsibility

Article

a. primary responsibility of job
b. limitations of authority
c. knowledge of the law and responsibilities of self and other public officials
d. utilization of proper means to gain proper ends
e. cooperation with public officials in the discharge of authorized duties
f. private conduct
g. conduct toward the public
h. conduct in arresting and dealing with law violators
i. gifts and favors
j. presentation of evidence
k. attitude toward the profession

25. Suppose that a patrol officer saw a man standing on a narrow ledge of a building threatening to jump. The police officer was told that the man was upset because his wife had left him and that the man had recently been released from a mental institution. As the officer approached, the man on the ledge threatened to jump. At this point, it would have been appropriate for the police officer to say:

    a. "Get off that ledge; everybody has troubles."
    b. "Your wife has just arrived; come on in and talk to her."
    c. "I dare you to jump! You won't do it."
    d. "Come off that ledge, Romeo."

26. In the same situation, the police officer rescued the man who then called the officer a "racist pig." In response to the insult, the officer answered, "I just saved your life, you fool." The officer's remark was:

    a. inappropriate. The officer should have said, "Your wife was right all the time."
    b. appropriate. Police officers should not be insulted.
    c. inappropriate. The officer should not have displayed his anger.
    d. appropriate. The officer put the man in his place.

Check your answers with the correct ones provided in the answer key.

Block I: Law Enforcement System
Unit C: Constitutional Law and Law Enforcement Operations

Ask your instructor for the pretest for this unit (I: C). After you complete the pretest, your instructor will let you know whether to study this unit or to take the posttest.

Introduction

All American citizens should have some knowledge of the United States Constitution, the fundamental law of our nation. The Constitution established our representative government of the people, by the people, and for the people. It also established the foundation of the criminal justice system in the United States. If you are preparing for a career in the criminal justice system, you should learn the constitutional laws which are concerned with law enforcement operations (First, Fourth, Fifth, and Fourteenth Amendments), those which affect the court's functions (Fifth, Sixth, and Eighth Amendments), and the Fourteenth Amendment which secures individual rights against invasion by the state and provides for due process and equal protection under the law.

In this unit, you will learn about the Constitution in general, about the three amendments which affect law enforcement operations, and the Fourteenth Amendment. The First, Fourth, Fifth, Sixth, and Eighth Amendments will be covered again in Unit C of Block III, as they apply to the rights of inmates. The amendments which affect the court's functions will be covered in Block III, Unit C.

Objectives

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Define the Constitution of the United States.
2. Describe the first three articles of the Constitution.
3. Define the Bill of Rights.
4. Identify the rights of citizens protected by the First, Fourth, and Fifth Amendments.
5. Describe law enforcement officers' duties in balancing the rights of citizens (protected by the First Amendment) and the public interest.
6. Describe the limitations the Fourth Amendment places on the law enforcement operations of arrest, search, and seizure.
7. Describe the relationship between the individual's right against self-incrimination (protected by the Fifth Amendment) and the law enforcement operations of searching for and seizing evidence.
8. Describe the Fourteenth Amendment.

The **Constitution of the United States** is a body of basic principles and laws which determines the powers and duties of the United States government and guarantees certain rights of United States citizens.

The Constitution contains 7 articles and 24 amendments. Of the seven articles which were ratified on September 17, 1787, the first three serve as authorization for a system of democratic, representative government and the foundation of a criminal justice system.

Article I is related to law making. It designates the legislative (law-making) powers of the Congress and establishes that: (1) the Congress should consist of the Senate and House of Representatives, and (2) members of the Congress should be elected by the people. It also sets out guidelines for electing senators and representatives, what their qualifications must be, and their terms of office.

Article II is related to executing (carrying out) the law. It designates that the president shall have the executive power of the government. Control of the armed forces and the Department of Justice are under the executive branch. Guidelines for the election of the president and vice-president are also given in this article.

Article III deals with interpreting the law. It designates the judicial powers within the Supreme Court, authorizes Congress to establish lower courts, and specifies that all trials, except in case of impeachment, should be held by jury.

NOTE: Since the Constitution was ratified in 1787, Congress has passed laws which authorize the establishment of lower federal courts and which determine criminal behavior. The courts try people who are accused of criminal behavior and interpret the laws in relation to the criminal behavior of the accused.

Article IV is about relations among the states and guarantees a republican form of state government. **Article V** sets out guidelines for the amendments to the Constitution. **Article VI** deals with debts and treaties, and **Article VII** is concerned with the ratification of the Constitution.

Bill of Rights

The first ten amendments are referred to as the **Bill of Rights.** When the Constitution was being considered for ratification, many states recommended that a bill of rights be added to the Constitution in order to place restrictions upon the federal government and to guarantee certain rights to individuals. After the Constitution was ratified, many states proposed amendments. Ten of the proposed amendments were ratified on September 17, 1791, becoming the first ten amendments to the Constitution.

In this section, we will discuss only the four amendments which have had the greatest influence on law enforcement operations: the First, Fourth, Fifth, and Fourteenth Amendments.

First Amendment

Congress shall make no law respecting the establishment of religion, or prohibiting the free exercise thereof; or abridging the freedom of speech, or of the press; or the right of the people peaceably to assemble, and to petition the government for a redress of grievances.

The First Amendment provides all individuals with:

- freedom of religion
- freedom of speech
- freedom of the press
- freedom of assembly
- freedom to petition for redress of grievances.

The United States Supreme Court has determined through various rules based on these amendments that schools cannot require students to say the Lord's Prayer in class; that most books and movies, even those expressing unpopular ideas or offensive values, should be made available to the public; and that any group can have gatherings in public places even though they may represent unpopular ideas.

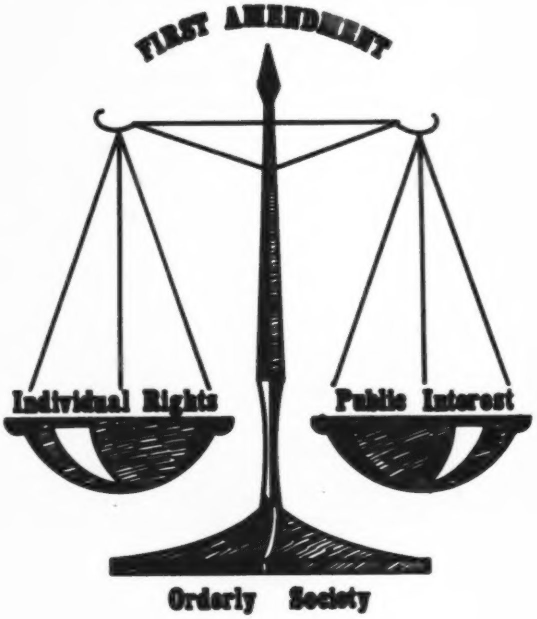

Figure C-1
Balance of Individual Rights and Public Interest

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redress: something done to correct a wrong.

However, individuals cannot exercise these rights without limitation, because these rights can exist only in an orderly, law-bound society. Therefore, there must be a balance between individual rights and the public interest.

For example, if thousands of people are picketing and having sidewalk demonstrations on a busy street, serious problems of traffic congestion could occur, creating a public disturbance. In order to balance individual rights and public interests, local governments regulate the time, place, duration, and manner of public assemblies without influencing content. This regulation provides for the safety and convenience of the community by requiring a permit for use of public facilities in such a manner.

In situations which could involve First Amendment rights, the main duties of law enforcement officers are crowd control and the arrest of violators of the law.

Officers should plan carefully for crowd control. Advance notice of the public gathering is necessary for effective preparation. A permit system gives law enforcement officers the notification they need.

The permit system does not keep potential troublemakers from holding street gatherings because the record of an applicant's past misconduct cannot be considered in granting or denying a permit. Therefore, law enforcement officers should be prepared for situations in which they must make arrests.

In public gatherings, law enforcement officers can make arrests without a warrant if participants:

- violate the traffic ordinances
- trespass
- breach the peace of the community
- perform disorderly conduct affecting other individuals
- refuse to obey legitimate commands of law enforcement officers.

Whenever officers must make an arrest, they should always remember that it must be based solely upon the misconduct of the accused, not upon the officers' personal emotions. When making an arrest on the grounds that the arrestee did not obey the officers' commands, officers should make sure that **their sole concern is the orderly conduct of group and community.** Officers should not make this type of arrest unless it is absolutely necessary to keep the public peace.

NOTE: Procedures for arrest without warrant will be covered later in this unit.

When law enforcement officers handle cases involving First Amendment rights, they must perform their duty with discretion, because they have two conflicting roles to perform:

- as protectors of the public interest
- as guardians of the individual rights guaranteed by the First Amendment

They have to consider both the public interest and individual rights and make decisions based on their evaluation of each situation. In the line of duty, officers will sometimes need to arrest, search, and seize a suspect or his/her possessions. The Fourth Amendment has provisions concerning search and seizure.

Fourth Amendment

The right of the people to be secure in their persons, houses, papers, and effects against unreasonable searches and seizures shall not be violated, and no warrants shall issue, but upon probable cause, supported by Oath or Affirmation, and particularly describing the place to be searched, and the persons or things to be seized.

To protect rights concerning search and seizure, this amendment places limitations on the law enforcement operations of arrest, search, and seizure, including the following:

1. An individual should not be arrested, searched, or seized without reasonable evidence (probable cause) which indicates that the individual has committed the crime. This restriction reduces the possibility of accusing someone solely on the basis of suspicion without reasonable evidence.

2. A warrant cannot be issued unless someone swears under oath (affirms) that evidence exists to indicate that the accused has committed the crime. In most states, a magistrate or another judicial officer issues a warrant on the basis of the evidence presented to him/her in the complaint. A warrant may be used only once and usually must be used in the state where it was issued.

3. An individual who is to be seized must be particularly described in order to make a valid arrest and incidental search. The description may include name, occupation, personal appearance, home address, and other identification. However, this amendment does **not** mean that all arrests, searches, and seizures without warrants are forbidden. This amendment places restrictions on issuing warrants, for the purpose of protecting individuals' rights and giving legal protection and authority to the warrant-serving officers. For example, even if law enforcement officers think that you are hiding something illegal in your house, they cannot search your house without a valid search warrant. As long as the officers search your house properly, following the state requirements by obtaining and executing a warrant according to the law, their search-related activities are protected.

   NOTE: Search or arrest without a warrant will be covered later in this Unit.

The warrant must be **valid** and comply with constitutional restrictions in order for the arrest made or evidence gathered under the warrant to be legal. In order for a warrant to be valid, it must:

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valid: acceptable under the law.

- be issued and signed by the proper official, such as the magistrate or another judicial official
- be issued in the name of the state or federal government
- designate an individual or class of individuals to serve the warrant
  NOTE: Most warrants are directed to law enforcement officers in the state as a class so that any officer can serve the warrant.
- include the description of the place, things, or persons to be searched, seized, or arrested
- describe the nature of the charge (such as arson, robbery, or rape) and the objects (such as stolen or embezzled property) involved
- indicate that the warrant is issued on the evidence that the place, things, or persons are involved in a crime (that there is **probable cause**).

Once a valid warrant (see Figure C-2) is issued, the law enforcement officers should **execute** the warrant. **Unless the warrant is properly executed, the arrest or evidence is not legal.** Warrants limit law enforcement activities by requiring documentation, which protects both citizens and law officers. Therefore, the officers should know the requirements of proper execution of a warrant described in the statutes or codes of the state. Procedures for search and arrest will be covered later in this Unit.

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execute: carry out.

(Part 1)

IN THE CIRCUIT COURT OF THE
__________ JUDICIAL CIRCUIT
__________ COUNTY, FLORIDA

GENERAL AFFIDAVIT AND APPLICATION FOR SEARCH WARRANT

STATE OF FLORIDA)
COUNTY OF __________) SS

BEFORE THE UNDERSIGNED

Judge, of the Circuit Court of the __________ Judicial Circuit in and for __________ County, State of Florida, personally came __________, who after being first duly sworn deposes and says:

THAT he is duly and lawfully appointed law enforcement officer for the Town of __________ Police Department, County of __________, State of Florida, and has all the powers and duties of a law enforcement officer in and for the County of __________, State of Florida.

THAT he has probable cause to believe, and does believe that on the premises and curtilage described as:

that the following ground for issuance of a Search Warrant, as required by Chapter 933, exists, to wit:

and that the law of the State of Florida has been violated, to wit:

and that the following property may be found therein, to wit:

YOUR AFFIANT believes and has probable cause to believe that the aforesaid property may be found on the above described premises and curtilage for the following reasons:

WHEREFORE, your affiant hereby makes application for a Search Warrant authorizing the Sheriff and/or Deputy Sheriffs of __________ County and/or Officers of the __________ Police Department of __________ County, State of Florida, with proper and necessary assistance, to search the above-described premises and curtilage in the daytime/nighttime or on Sunday, to search those who shall be suspected of being connected with violation of the law as heretofore stated above, and to seize any and all of the aforesaid property found by virtue of such Search Warrant and to bring the said property and/or person(s) arrested before me, the Magistrate or some other Court having jurisdiction of the offense.

____
AFFIANT

SWORN TO AND SUBSCRIBED before me at

__________, __________
County, Florida, this __________ day
of __________, A.D. 19__.

____
JUDGE OF THE CIRCUIT COURT

IN THE CIRCUIT COURT OF THE
__________ JUDICIAL CIRCUIT
__________ COUNTY, FLORIDA

(Part 2)

SEARCH WARRANT

STATE OF FLORIDA)
COUNTY OF __________) SS

IN THE NAME OF THE STATE OF FLORIDA TO ALL THE SINGULAR THE SHERIFF AND/OR DEPUTY SHERIFFS OF __________ COUNTY, AND/OR OFFICERS OF THE POLICE DEPARTMENT IN AND FOR __________ COUNTY, FLORIDA:

WHEREAS, __________ as a law enforcement officer for the __________ Police Department, County of __________, State of Florida, has this day made application before me for a Search Warrant, said application being supported by the General Affidavit and Application for a Search Warrant of __________, wherein it is alleged that the Affiant has reason to believe and does believe that on the premises and curtilage described as:

that the following grounds for issuance of a Search Warrant, as required by Chapter 933.02, 933.18, exists, to wit:

and that the law of the State of Florida has been and is being violated, to wit:

and that the following property may be found therein, to wit:

NOW, THEREFORE, the facts upon which the belief of said Affiant is set out in said General Affidavit and Application for Search Warrant as hereby incorporated herein and expressly made a part hereof are hereby deemed sufficient to show probable cause for the issuance of a Search Warrant in accordance with the application of said Affiant.

THESE ARE THEREFORE, to command you __________ and/or law enforcement officers of the __________ Police Department, of the County of __________, State of Florida, with proper and necessary assistance to search the above described premises and curtilage and to search those who shall be connected with or suspected of being connected with violation of the law as heretofore stated above and, furthermore seize any and all of the aforesaid property found in and upon said premises and to bring the said property and/or person(s) arrested before the undersigned Magistrate or some other Court having jurisdiction of the offense.

YOU ARE directed to deliver a duplicate copy of this Search Warrant to the following named person to wit: ______________ or in his absence to some person in charge of, or living on the premises.

YOU ARE directed that if property be found and seized by virtue of this Search Warrant, you shall deliver to the above person a written inventory of the property taken and receipt for the same, and if no person be found in possession of the premises, you shall leave said duplicate copy and receipt on the premises.

YOU ARE further directed to make return of your actions and doings by virtue hereof to the undersigned, the Magistrate, or some other Court having jurisdiction of the offense within ten (10) days from the date hereof and to do and report concerning the same as the law further directs.

Authority is hereby granted to execute this Warrant in the daytime/nighttime or on Sunday.

GIVEN UNDER MY HAND AND SEAL THIS __________ day of __________, A.D. 19__.

____
JUDGE OF THE CIRCUIT COURT

STATE OF FLORIDA)
COUNTY OF ________________) SS

(Part 3)

RETURN AND INVENTORY

I, ______________________________, received the within Search Warrant on ________________, and duly executed it as follows:

On ________________, 1983, at ______ o'clock, __. m., I searched ____ described in the Search Warrant and left a copy of the Search Warrant with ________________ together with an inventory of the property taken.

The following is an inventory of property taken pursuant to Search Warrant:

I, ______________________________, the officer who executed this Search Warrant, do swear that the above Inventory contains a true account of all the property, goods or chattels taken by me pursuant to said Warrant.

____

SWORN TO AND SUBSCRIBED before me at ________________, ________________ County, Florida, this ______ day of ________________, A.D. 19__.

____
NOTARY PUBLIC, STATE OF FLORIDA AT LARGE

My Commission Expires:

Using valid warrants during search and arrest procedures has two advantages:

- The courts will admit evidence obtained under a search warrant more readily than evidence obtained by a search which is incidental to arrest.
- A warrant provides better protection for law enforcement officers.

Fifth Amendment

No person shall be held to answer for a capital, or otherwise infamous crime, unless on a presentment of indictment of a Grand Jury, except in cases arising in the land or naval forces, or in the Militia, when in actual service in time of War or public danger; nor shall any person be subject for the same offense twice to be put in jeopardy of life or limb; nor shall be compelled in any criminal case to be a witness against himself/herself, nor be deprived of life, liberty, or property, without due process of law; nor shall private property be taken for public use without just compensation.

The Fifth Amendment provides for our rights against double jeopardy and self-incrimination as well as our right to procedural due process. This means the following:

1. No person can be prosecuted for a felony in the federal courts without a grand jury **indictment**. However, not all state courts apply this right to felony prosecutions. Procedures of felony prosecutions in the state courts vary from state to state. Therefore, you should refer to each state's constitution to clarify this procedure.

2. No person shall be put in **jeopardy** twice for the same offense. "Put in jeopardy" means having a trial with jury or witness under oath. However, the courts have ruled that a second trial held as the result of a mistrial is not double jeopardy, provided that the mistrial is not the fault of the prosecution. For example, if the judge dies during the trial, the defendant will have a retrial and cannot contest that it is double jeopardy.

3. No person can be required to testify against himself/herself in a way that may **incriminate** that person. This privilege against self-incrimination applies only to testimonial utterances in oral or in written communication. Therefore, the accused can refuse to be a witness against himself/herself but cannot refuse to have fingerprints or photographs taken or to appear in a police lineup.

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indictment: a formal, written accusation by a grand jury.

jeopardy: the danger of loss, injury, or death.

incriminate: to suggest the guilt of.

In order to make their seizures lawful and valid, the law enforcement officers must comply with the right against self-incrimination. That is, the law enforcement officers must inform the accused, before the interrogation begins, that s(he) has the right to remain silent and that anything said can and will be used against him/her in court. However, law enforcement officers can seize anything that has evidential value on or about the accused or the crime scene, such as handwriting samples, hair specimens, blood specimens, clothing, and other items for comparison tests. The officers can also examine the body of the accused for scars, marks, and wounds if they provide evidence of the crime. When taking samples from the accused, the law enforcement officers should have the accused sign a consent form which is a written permission allowing investigators to take and use the samples. This form should include the date, place, kind of specimens taken, the name of the accused, and a statement that the specimens were given voluntarily.

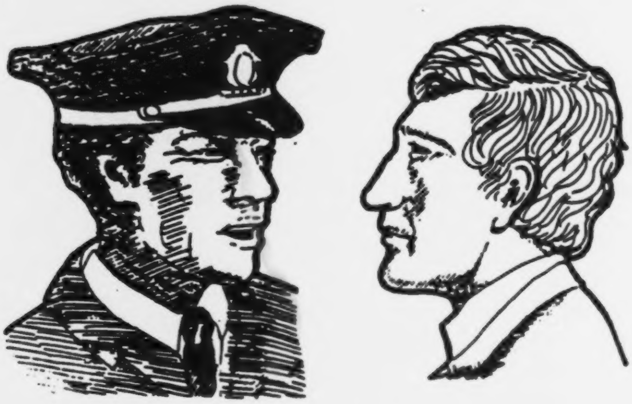

Figure C-2
Informing the Accused of His Rights

4. No person's private property can be taken for public use without just compensation. Anyone whose property is taken for public use has a right to procedural **due process** for just compensation.

Fourteenth Amendment

All persons born or naturalized in the United States, and subject to the jurisdiction thereof, are citizens of the United States and of the State wherein they reside. No State shall make or enforce any law which shall abridge the privileges or immunities of citizens of the United States; nor shall any State deprive any person of life, liberty, or property without due process of law, nor deny to any person within its jurisdiction the equal protection of the law.

---

due process: law in its regular course of administration through the courts of justice.

This amendment, which was ratified in 1868, states that the individual's rights protected by the Bill of Rights must apply equally to all citizens of the United States, and that no state can make laws which deprive citizens of **due process** and equal protection of their rights. Due process is a constitutional guarantee of an individual's fundamental rights protected by the Bill of Rights, and equal protection means similar legal treatment must be given to all persons in similar situations regardless of their race, ethnic background, or social class. Before the ratification of this amendment, states could and did make laws that might be in conflict with the federal Constitution's laws on citizens' rights.

Summary

The seven articles of the United States Constitution were ratified in 1787; the first ten amendments were ratified in 1791. These amendments are referred to as the Bill of Rights, since they guarantee the individual rights of United States citizens. The effects of the First, Fourth, and Fifth Amendments on law enforcement operations are as follows:

The **First Amendment** guarantees the individual's freedom of:

- religion
- speech
- press
- petitioning for redress of grievances
- assembly.

However, these rights can be practiced only so far as they do not harm the public interest. Law enforcement officers must handle cases involving First Amendment rights with great discretion.

The **Fourth Amendment** concerns search and seizure. In performing search, seizure, and arrest duties, the law enforcement officer must make sure that the warrant is valid and follow the proper procedures of execution of a warrant as described in the statutes of the state.

The **Fifth Amendment** provides rights against double jeopardy and self-incrimination. However, since the right against self-incrimination applies only to testimonial utterances, law enforcement officers can seize anything that has value as evidence of a crime. When seizing the evidential samples from the accused, the officers should have the accused sign a consent form.

The **Fourteenth Amendment** guarantees the right to due process and equal protection under the laws.

Now complete the review questions beginning on the next page.

Review Questions (I: C)

Write your answers on a separate sheet of paper.

1. What is the Constitution of the United States?

2. The Constitution contains ______ articles and ______ amendments (as of 1981).

3. Article I is related to law ______, Article II is related to ______ the law, and Article III is related to ______ the law.

4. Which article of the Constitution authorizes Congress to establish lower courts?

5. Which article sets out guidelines for the election of the president and vice-president of the United States?

6. What is the Bill of Rights?

7. List **four** amendments which affect law enforcement operations.

8. List **five** rights guaranteed to citizens by the First Amendment.

9. In an attempt to balance individual rights and the public interest, local governments use a ______ system for the use of public facilities.

10. What are the **two** main duties of law enforcement officers in balancing individual rights and the public interest?

11. When performing these duties, what should the officers keep in mind?

12. There are situations in which a law enforcement officer needs to make an arrest in a public gathering. The officer's sole concern and motivation for making an arrest must be the ______.

13. The Fourth Amendment has provisions concerning ______ and ______.

14. Two students are discussing the Fourth Amendment. Student A says that the law enforcement officers **cannot** search and seize anybody without a warrant. Student B says that the Fourth Amendment **does not prohibit** an arrest or search without a warrant. Who is right?

15. List **four** requirements for a valid warrant.

16. Suppose that a law enforcement officer arrests Mr. Smith for battery during a fight and tells him that his body must be examined for any marks or wounds for evidence. Does Mr. Smith have the right to deny this body examination?

17. The Fifth Amendment provides for rights against _____ and _____.

18. Under the Fifth Amendment, no one can be prosecuted for a felony in the federal courts without _____.

19. Two students are discussing this case: Bill was accused of a robbery, tried by a sworn-in jury, and acquitted because of lack of evidence. After the trial, the sheriff's office obtained better evidence.

    Student A says that Bill will be arrested and tried again, since there is better evidence now. Student B says that Bill cannot be tried again because he was acquitted by a sworn-in jury and it would be double jeopardy to try him again. Who is right?

20. Suppose that a law enforcement officer arrests Ms. White for shoplifting and threatens her into making a confession. The officer is violating the _____ Amendment.

21. The Fourteenth Amendment guarantees all citizens of the United States the rights of _____ and _____ under the laws.

Check your answers with the correct ones provided in the answer key.

Block I: Law Enforcement System
Unit D: Law Enforcement Operations
Section 1: Patrol Types and Characteristics

Ask your instructor for the pretest for this section (I: D-1). After you complete the pretest, your instructor will let you know whether to study this section or to take the posttest.

Introduction

As we mentioned in the overview at the beginning of this block, the main goal of the criminal justice system is to maintain a safe, orderly society which protects the rights of the individual. To achieve this goal, law enforcement officers must fulfill their main responsibility of protecting the life and property of citizens. To do this they must remove the opportunity to commit crimes through effective patrolling.

In this section, you will study the responsibilities and duties of patrol officers, the three basic types of patrols, and their advantages and disadvantages.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the main goal of patrol officers.
2. Identify at least four tasks of patrol officers.
3. Identify the main responsibility of patrol officers.
4. Identify the three basic types of patrols.
5. Identify the four types of specialized patrols.
6. Identify two advantages of each basic type of patrol.
7. Identify two disadvantages of each basic type of patrol.

Goals and Responsibilities of Patrol Officers

The main goal of patrol officers is to remove the desire and the opportunity to commit a crime. To achieve this goal, patrol officers are assigned to maintain security in certain areas. The patrol officers answer calls for service and perform patrol tasks in their assigned community. These tasks include:

- checking business or residential areas for security
- checking suspicious persons
- checking abandoned vehicles
- securing crime scenes
- conducting stake-outs
- making arrests.

The patrol officers must realize that their responsibility is not only to answer calls for aid and be on active patrol, but also **to protect the life and property of citizens.**

Basic Types of Patrol Techniques

Patrol officers perform their duties on foot, by vehicles such as car, motorcycle, aircraft, and boat, or by special means such as with dogs. Depending upon the means, patrol units are basically categorized into three types:

- foot patrol—patrol on foot
- vehicle patrol—patrol by car
- specialized patrol—patrol by special means

Foot Patrols

Patrol officers use foot patrol techniques for small areas during busy times (daytime and early evening) when many people are moving around. Areas of assignment for a foot patrol officer can include:

- shopping centers
- areas with frequent sidewalk crime
- areas with heavy vehicular traffic
- central business districts
- amusement and recreational centers.

While on patrol, foot patrol officers usually check the doors and windows of stores and stay alert for suspicious persons and vehicles.

Since the foot patrol officers are placed on a **beat**, that is, an assigned area, they:

- have better access to the areas that are difficult for vehicular patrols

to reach, such as alleys, rooftops, outside storage areas, and inside buildings
- have a better opportunity to learn the layout of the community
- can open lines of communication and develop contacts with the public.

In return, the foot patrol officers bring information and ideas to the law enforcement department so that the department can better serve the public. However, since the capacity of foot patrol officers to move about is limited to a specific area, their beats should be small and utilize effective patrolling patterns. Foot patrol officers are also known as **beat patrol** officers or **walking patrol** officers.

Vehicular (Car) Patrols

A **vehicular patrol** is performed by car in a district or zone. Therefore, it is also called a **car patrol,** a **district patrol,** or a **zone patrol.**

Over the years, car patrols have replaced many of the foot patrol areas. An officer can cover more area and answer more calls for service on car patrol than foot patrol in the same amount of time. Car patrols, along with specialized patrols, are used during the late night and early morning hours when the threat to life and property is the greatest.

With the use of two-way radios, officers in different cars can communicate with each other and the department; as soon as the department (or station) gets a call, the information is relayed to a vehicular patrol for appropriate action. This efficient communication system often makes it possible to apprehend the suspect at the crime scene or a short time after the crime. Officers on vehicular patrols can be continuously on the move so people do not know when or where they will appear, giving officers the advantage of surprise.

Patrol officers reduce the opportunity for crime through:

- quick response times
- rapid pursuit capabilities
- unexpected appearances.

Specialized Patrols

As the demands on law enforcement agencies changed, specialized patrol units were developed to relieve the workload of the foot and vehicular patrol officers and also to handle special situations. These specialized units include motorcycle, marine, air, and K-9 (dog) patrols. A brief description of each follows:

Motorcycle Patrol Units. The officers in the motorcycle patrol unit handle an assortment of duties dealing with traffic control, such as:

- escort (for dignitaries, parades and funerals)
- traffic direction
- traffic enforcement
- radar traffic enforcement

- accident investigation
- community relations programs to the public.

Marine Patrol Unit. The officers in the marine patrol unit are trained in boat handling and maritime law. The department provides a boat equipped with emergency lights, siren, and two-way radio. Some of the duties of marine patrol officers are:

- promoting water safety programs
- carrying out search and rescue on the waterways
- making boat safety inspections
- making safety equipment inspections
- enforcing maritime law on the waterways.

Air Patrol Unit. The officers in the air patrol unit must be licensed pilots. They may be assigned to either fixed-wing aircraft or helicopters. The hours for assignment of this unit vary depending on the need for service, but, basically, they are assigned during peak traffic hours and at night. Some of their duties are:

- reporting traffic congestion
- reporting accidents
- carrying out surveillance
- pursuing suspects
- transporting prisoners
- transporting the injured to the hospital
- presenting community relations programs to the public.

K-9 Patrol Unit. The officers in the K-9 patrol unit have a dog (canine) assigned directly to them. These dogs are usually German shepherds or Doberman pinschers because they can best be trained to fill the specific needs of law enforcement. Most departments allow the officers to keep the dogs in their homes when not on duty and require them to care for and train the dog in a continuing program. Some of the K-9 officers' duties include the following:

- controlling crowds
- searching a building for a suspect hiding inside
- tracking escaped prisoners
- searching for lost children
- presenting programs to the public on dog handling
- searching for hidden drugs and/or explosives.

Advantages and Disadvantages of Each Type of Patrol

We have discussed foot patrol, vehicular patrol, and some of the specialized patrols in law enforcement. Now let's identify their advantages and disadvantages.

Advantages	**Disadvantages**
Foot Patrol	
• Officers can come in closer contact with more people than in car patrol.	• Offices are limited in the speed of their movement.

- Officers have the opportunity to develop more informants.
- Officers can develop a good working knowledge of the physical layout of the beat.
- Officers are immediately available to handle calls for aid.
- Officers may be able to anticipate an incident before it becomes too difficult to control.

- Officers are limited to using only the equipment they can carry.
- Pursuit can be difficult and limited.
- Supervision of foot patrol officers is difficult.
- The cost of operating foot patrol areas is expensive.

Vehicular Patrol

- The law enforcement department has a better area coverage.
- The officer can respond quickly to calls for aid.
- It takes fewer officers to cover an area than with foot patrols.
- The officers can pursue a suspect for greater distances.

- There is little direct contact with the citizens except when answering calls.
- The officers may be unfamiliar with the physical layout of the patrol area.
- The officers may be unfamiliar with local problems.

Specialized Patrol

- Patrol activities can be done more efficiently and comprehensively.
- A sense of pride can be developed within the department.
- A sense of pride can be developed within the community.
- Patrols can be tailored to the particular needs of the community.

- Attitude problems within the department may develop between units or patrol sections.
- Specializations may cause the officers to have a lack of involvement in other departmental activities.
- Implementing specialized units can be expensive.
- Specialized training is required.

Summary

Patrol activities vary according to the needs of the community. There may be need for foot patrol officers in one area while another might require vehicular patrol and a motorcycle patrol. As the community develops new needs, law enforcement officers will be there to pursue new patrol techniques to serve these needs.

Now complete the review questions beginning on the next page.

Review Questions (I: D-1)

Write your answers on a separate sheet of paper.

1. What is the main goal of patrol officers?
2. List at least **four** duties of patrol officers.
3. What is the main responsibility of patrol officers?
4. List the **three** basic types of patrols.
5. List **four** types of specialized patrols.
6. Foot patrol is also called: (Choose **all** correct answers.)
   - a. beat patrol.
   - b. zone patrol.
   - c. walking beat.
   - d. walking patrol.
7. Vehicular patrol is also called: (Choose **all** correct answers.)
   - a. car patrol.
   - b. beat patrol.
   - c. zone patrol.
   - d. district patrol.
8. List **two** advantages for each of the three basic patrol types.
9. List **two** disadvantages for each of the three basic patrol types.

For questions 10–12, match the description of patrols on the left with the names of patrols on the right by writing the letters of the patrol beside the number for the description.

Description	**Names**
10. Officers patrol in small areas.	a. vehicular patrol b. K-9 patrol
11. Officers can be continuously on the move, and people do not know when the officers will appear.	c. foot patrol
12. Officers care and train the dog to help in searching for lost children, tracking escaped prisoners, etc.	

13. The following are advantages of the three types of patrols. Write **F** for advantages of foot patrol, **V** for vehicular patrol, and **S** for specialized patrol. (Some of the items may require more than one letter answer.)

    a. Officers can develop a good working knowledge of the physical layout of the area.
    b. Officers can respond quickly to calls for aid.
    c. It takes fewer officers to cover areas.
    d. Patrol activities can be done more efficiently and comprehensively.
    e. Officers may be able to anticipate an incident before it becomes too difficult to control.
    f. A sense of pride in the community and in the department can be developed.
    g. Officers have the opportunity for close contact with people.

14. The following are disadvantages of foot patrol, vehicular patrol, and specialized patrol. Write **F** for disadvantages of foot patrol, **V** for vehicular patrol, and **S** for specialized patrol. (Some of the items may require more than one letter answer.)

    a. Officers are unfamiliar with local problems.
    b. There is not much direct contact with the citizens except when answering calls for aid.
    c. The operating cost is high.
    d. Pursuit is difficult and limited.
    e. Supervision of the patrol officers is difficult.
    f. It may cause a lack of involvement by officers in other departmental activities.
    g. Officers are limited in the speed of their movement.

Check your answers with the correct ones provided in the answer key.

Block I: Law Enforcement System

Unit D: Law Enforcement Operations

Section 2: Crime Scene Procedures

Ask your instructor for the pretest for this section (I: D-2). After you complete the pretest, your instructor will let you know whether to study this section or to take the posttest.

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Introduction

As you read in the previous section, the main responsibility of law enforcement officers is the protection of life and property, and their main goal is to remove the desire and opportunity to commit a crime. However, once a crime or an accident has occurred, the law enforcement officer must investigate the occurrence.

In this section you will study the purpose and types of investigations, responsibilities of law enforcement officers at the crime scene, and basic procedures of crime scene investigation. Accident investigation will be covered in the next section.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the two basic types of investigations.
2. Identify the purpose of a criminal investigation.
3. Identify two basic methods of collecting information about the crime from the people involved.
4. Identify one desirable characteristic of an investigator conducting an interview.
5. Identify two categories of evidence.
6. Match methods of marking to specific types of evidence.
7. Identify seven preliminary tasks that a law enforcement officer may be required to perform at a crime scene.
8. Match task descriptions with crime scene job titles.
9. Identify three types of final crime scene searches.

Performance Objectives

A. Given a simulated crime scene, evidence tags, evidence report forms, and containers, you should be able to collect, record, and store the evidence without destroying its useability as evidence. Your performance will be rated on the following tasks and should be rated "A" (acceptable):

   1. record the exact location of each piece of evidence
   2. request that evidence be photographed
   3. not move evidence until told that it has been photographed
   4. mark and tag each piece of evidence, entering the following on the evidence tag:
      a. incident number
      b. item number
      c. name
      d. I.D. number
      e. date and time
      f. appropriate remarks

5. maintain evidence properly by entering the following on the evidence report:
    a. incident number
    b. report type
    c. incident type
    d. location
    e. item number
    f. quantity
    g. description
    h. name
    i. I.D. number
    j. date
    k. time
    l. owner's name
    m. owner's address
    n. owner's phone number

6. turn evidence in to the instructor as custodian and request the following:
    a. signature
    b. I.D. number
    c. date
    d. time
    e. security location

B. Given a simulated crime scene and other team members to work with, you should be able to function in any of the ten identified team crime scene jobs. Your instructor will use a checklist to evaluate your work on the following tasks. Your performance should be rated "A" (acceptable) on all items.

1. Check for injuries.

2. Treat injured if needed.

3. Rope off or secure crime scene and place guard.

4. Contact complainant.

5. Interview complainant and make report.

6. Check for witnesses.

7. Select an officer in charge.

8. Assign jobs.

9. Sketch crime scene.

10. Measure crime scene.

11. Photograph crime scene.

12. Process crime scene for fingerprints.

13. Collect and identify evidence.

Types of Investigations

There are two general types of investigation law enforcement officers may conduct:

- accident investigation
- criminal investigation

Accident investigation is the collection of evidence and information, usually at the scene of the accident, to determine what happened and who was involved. (Accident investigation is covered in the next section, I: D-3.)

Criminal investigation involves the collection of evidence and information not only at the scene of a crime but also away from the scene to identify motives, to establish or eliminate alibis, and to determine the suspect(s). Crime scene investigation, therefore, is one phase of a criminal investigation.

Law enforcement agencies also conduct specialized investigations such as background checks of law enforcement officer recruits and appointed public officials, investigations of internal department violations, and evaluations of juvenile programs.

Purpose of Investigation

Even the most efficient law enforcement agency cannot prevent crimes against individuals and their property. Therefore, once a crime has been committed, the law enforcement officer becomes a crime scene investigator. As an investigator, the law enforcement officer must perform his/her duties in a manner that will allow the agency to identify, locate, arrest, and bring to court the person, or persons, who committed the crime.

The purposes of the criminal investigation are to:

- **establish the identity** of the suspect, or suspects, who committed the crime and to associate them with the crime. With this evidence and information, the law enforcement officer or agency can establish probable cause for arresting the suspect(s).
- obtain information to determine if a crime in fact has been committed.
- reconstruct the actions and events of the crime.

Methods of Collecting Information from People for Investigation

All information, except physical evidence and direct observation by the law enforcement officers, will come from **interviews** and **interrogations.** Interview techniques are generally used at the beginning of the investigation with all persons associated with the crime, such as victims, witnesses, and potential suspects. When an individual becomes a suspect, the officer uses interrogation techniques to establish the extent of his/her involvement in the crime. Figure D-2-1 shows the type of information available through interviews and interrogations.

Providers of Information	**Sources of Information**	**Types of Information**
Offenders	• direct observation, personal experience • deliberate deception based upon imagination	• facts consistent with information from witnesses and victim • alibis • motives • location of property taken • involvement of other persons • involvement in other offenses • identity of the offender • description of the subject • direction and method of flight • method of operation (what, when, how, where) • things to search for on suspect • motives of suspects
Victims	• direct observation and personal experiences	• description of objects taken • what did the suspect say • what did the suspect do • what did the suspect touch
Witnesses	• direct observation and "hunches," ideas and theories based on past experiences	• in what order did events occur • to what extent was the scene altered • in what manner was the scene altered

Figure D-2-1
Sources of Information

Interviews

Interviews concerning a specific crime should be conducted as soon after the incident as possible. The investigating officer will derive much information from interviews conducted at the crime scene. The investigator should, however, keep in mind that the victim and some of the witnesses may be emotionally upset just after a crime, which may necessitate delaying the inteview.

The investigator assigned to the case should have knowledge of investigation procedures, pertinent laws, and all available information about the case itself. He/she should also have an understanding of people in general and an ability to talk with them at the level of the person being interviewed and should be able to keep his/her personal prejudices from affecting the investigation.

At the start of the interview the investigator should strive to establish a harmonious relationship with the person being interviewed to put them at ease. During the interview the investigator should:

- keep the individual talking
- allow the individual to tell the story in his/her own words
- not ask leading questions
- emphasize that he/she is just after the facts
- evaluate the mannerisms and emotional state of the individual being interviewed.

Interrogations

The same basic procedures that apply to interviews also apply to interrogations. However, there is one basic rule that states, "No person shall . . . be deprived of life, liberty, or property, without due process of law." Any confession or information obtained in violation of the "due process" rule is not admissible as evidence. Any conviction based on such evidence, or confession, must be overturned. Due process is a right given by both the Fifth and Fourteenth Amendments to the U.S. Constitution.

During the mid 1940's the U.S. Supreme Court redefined "due process" to exclude evidence and confessions obtained under questionable conditions such as threats, promises, or beatings.

Categories of Evidence in Interrogations

It has been said that criminal cases are won or lost at the scene of the crime. Unless law enforcement officers understand the rules of evidence and carefully observe them, they may overlook what should be noted or pick up what has no value.

The two categories of evidence are direct evidence and circumstantial evidence.

- **Direct evidence**—information supplied by a witness who actually observed the crime or accident. This information can be gathered by the witness through any of the five senses. Example: Ms. Jones saw Mr. Smith shoot the store clerk.

- **Circumstantial evidence**—information deduced from circumstances observed before or after the actual commission of a crime. Circumstantial evidence is often based upon witness testimony and physical evidence. It can only suggest, point to, or be a link to the information which finally leads to the results. Example: Mr. Barker was the last person to leave the store before the radio was discovered missing.

Evidence is the means by which the jury or the judge determines the truth or falsity of the charges and allegations involved. To be admissible in court, evidence must be classified as **relevant**. This means that the evidence must tend to establish a fact related to the crime. The following situation is an example of this:

- Sawyer was grabbed as he attempted to leave the crime scene.
- Sawyer had a weapon.
- Sawyer had a bag of money.
- Sawyer was identified by the store clerk.

A person cannot be convicted of a crime if the only evidence of the crime is their confession. It must be proven that a crime was committed; in other words, a **corpus delicti** must be established. This is established by using direct or circumstantial evidence, or a combination of the two. The corpus delicti must be proven beyond a reasonable doubt. It is the responsibility of the investigating officer to gather sufficient evidence to show the existence of the offense along with the identity of the person who committed the crime. More will be explained about evidence later in this section.

Physical Evidence

When a crime is committed, there will usually be physical changes in the victim or in his/her surroundings. This is considered physical (or real) evidence. Physical evidence is any physical object, such as a weapon, vehicle, blood, etc. which can be associated with the crime. It is a type of circumstantial evidence. When the officer collects evidence, he/she should consider all of the possibilities in the following list:

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corpus delicti: (body of the offense), the essential elements necessary to the commission of a crime; in murder, the unlawful death of the person alleged to have been murdered.

Physical Changes	**Examples**
in victim's condition	• physical injuries caused by weapons (gun, knife, blunt instrument), chemicals (poisons, acids, drugs), impact with vehicle, or other object resulting in the loss of blood, skin, hair
in suspect's condition	• physical injuries caused by a fight with the victim (scratches, bruises, wounds), by impact of a collision or by other accidents (cuts from broken glass, falls from high places)
in scene's condition	• things broken such as windows, locks, doors, headlights, car bumpers • things dented or marked such as fenders, window sills, door jambs, earth, wet paint, soft putty • things moved such as furniture, window shades, curtains, drawers, windows, doors • things destroyed such as a building burned, serial numbers on motors etched or ground away

Transfer of Materials	**Examples**
things taken from scene/victim	• tools used in the commission of the offense or an automobile involved in a hit-and-run accident • the property of the victim • (from the victim) blood, hair, clothing fibers • (from the scene) rug fibers, dust, animal hairs, paint chips, glass fragments, safe filler, twigs, wet paint, splinters, metal filings
things left by offender on victim/scene	• bad checks or other fraudulent documents, bullets, tools, weapons, cigarette butts, matches, ransom notes, debris from auto accident (glass, water, oil, dirt from under car, chrome), clothing, semen • fingerprints, palmprints, foot, tire and cloth impressions, hairs, clothing fibers, toolmarks, skin scraped off by victim's fingernails or by sharp objects at the scene, blood, parts of vehicle, tool fragments

Preliminary Crime Scene Investigation

When responding to a request for help at a crime scene, the law enforcement officer must keep in mind that speed and safety are extremely important. Once he/she is at the crime scene there are basically eleven tasks to be performed. You can remember these tasks by their initial letters, PRELIMINARY. These stand for:

P	**Protect** the crime scene.
R	**Render** assistance to the injured.
E	**Effect** the arrest of the suspect, if possible.
L	**Locate** and identify witnesses.
I	**Interview** the complainant and witnesses.
M	**Maintain** the crime scene, and protect the evidence.
I	**Interrogate** the suspect, when possible.
N	**Note** all conditions, events, and remarks made at the scene.
A	**Arrange** for the collection of the evidence.
R	**Report** the incident fully and accurately.
Y	**Yield** responsibility to the follow-up investigators.

Needless to say, the tasks are not necessarily listed in the order in which they must be performed. The law enforcement officer **may** be required to arrest the suspect, or at least take him/her into custody before protecting the scene or rendering assistance to the injured. He/she may also need to render first aid at the earliest opportunity.

Jobs at the Crime Scene

There are ten basic jobs for law enforcement officers at a crime scene. They may be performed by a single officer or by a team, depending upon the availability of officers and the scope of the scene. Two persons are the ideal team size for the vast majority of crime scenes. These jobs are:

- officer in charge
- administrant of first aid
- guard
- interviewer of witnesses and/or suspects
- note taker
- sketcher
- measurer
- photographer
- fingerprinter
- evidence collector.

The duties of each job are detailed as follows:

Officer in Charge

Usually the first officer at the scene is the officer in charge until a supervisor, detective, or crime scene investigator arrives. Upon arrival, the supervisor, detective, or crime scene investigator takes charge and the first officer assumes other tasks. As the officer in charge, one should make sure that each of the tasks identified by the keyword PRELIMINARY is done properly. The officer in charge assigns the following jobs to fellow officers or does them himself/herself.

If the officer in charge is a supervisor or detective, he/she stays out of the scene and assists in guarding the scene, interviewing witnesses, interacting with rescue units, and serving as the contact officer for public relations. If the officer in charge is a crime scene investigator, he/she enters the scene and assigns/begins the jobs of note taker, sketcher, measurer, photographer, fingerprinter, and evidence collector.

Administrant of First Aid

The job of this officer is to stabilize the injured until the rescue unit arrives at the scene by applying immediate first aid or by making the injured as comfortable as possible. Normally this job takes priority over processing the scene or interviewing witnesses.

NOTE: The specific procedures and techniques of first aid are covered in separate instructional materials, Emergency Medical Service: First Responder Training Course.

Guard

The guard's responsibility is to secure the crime scene as soon as possible to safeguard any evidence. If the scene is located outside, he/she should rope off the scene as soon as possible. If the scene is located inside, he/she should:

- walk through the area and lock all doors
- place other guards as required.

The guard is responsible for keeping all personnel out of the scene—civilian and police—except rescue units or crime scene investigators.

Interviewer of Witnesses

Witnesses are very important in a crime scene investigation. They can aid investigators in collecting information which not only leads to the arrest of a suspect but also gives clues about why a crime has been committed. The officer assigned to interview witnesses should know interviewing procedures and pertinent laws well. He/she should also have an understanding of people and the ability to talk with them on their level. The officer should be able to remain **objective**, keeping his/her personal prejudices from affecting the investigation. At the start of the interview, the officer should strive to establish a harmonious relationship with the person being interviewed to put them at ease.

When the officer is assigned to interview witnesses at a crime scene, he/she must follow the general guidelines listed below.

- Check the crime scene area for witnesses as soon as possible.

- When someone is found, verify that he/she witnessed the crime or circumstances immediately before or after it.

- Identify yourself as a law enforcement officer.

- Separate the witnesses, if there are more than one, so they cannot compare their observations.

- Interview witnesses separately, using recording equipment such as a tape recorder and/or field notes. When using recording equipment, the officer must follow applicable state laws and department policies on advising the witnesses that their conversations are being recorded. Procedures for correct operation of the recording equipment are listed in the equipment manufacturers' manual.

- Determine the witness's ability to provide accurate information when under stress. Evaluate the emotional state of the witness.

- Determine the location of the witness in relation to the scene as the crime was in progress.

- Ask the witness to tell in his/her own words what happened, and do not prompt or lead him/her.

- Keep the witness talking, but explain that you want only the facts.

- Record the witnesses' statements as quickly as possible.

- Broadcast descriptions of any suspects or vehicles so that other law enforcement officers and agencies may help to locate them.

NOTE: See "Search and Arrest," Section 4 of this unit, for procedures to use if the suspect is located at the crime scene.

Note Taker

An investigator should consider a notebook an essential item of his/her equipment whether interviewing witnesses or processing the scene. Taking complete notes is an essential requirement of any investigation because they supplement every phase of the investigation. Very often, details that appear unimportant in official reports may become points of interest in court or during the various steps of an investigation. When these details are recorded properly, they are readily available.

It is important to record any detail that might be of value in the future. The notebook serves as a reservoir of information. At a later date, facts may be evaluated, arranged in the proper order, and sorted by their importance.

The primary purpose of note taking is to make it easier for the investigator to be able to recall an incident, situation, or circumstance at a later date. Note taking compensates for the loss of memory that usually occurs between the original investigation and the preparation of reports by making it possible to recall facts and circumstances more clearly and accurately. In addition, keeping accurate and detailed notes will:

- support and complement sketches and photographs made during an investigation
- recall the crime scene as accurately as possible, when combined with sketches and photographs

- allow for a thorough review, analysis, and evaluation of the crime scene later, without the need to revisit it.

Notes will aid the investigator during interviews and interrogations in the following ways:

- Reinvestigations are often eliminated or reduced.
- Points of conflict are often resolved.
- Logical and pertinent questions are formulated.
- Information can be evaluated with the aid of other details.
- Notes serve as an outline for preparing a finished and completed report.

If a witness's memory fails, the use of notes can be helpful, especially during courtroom proceedings. Other investigators can be briefed even when the original report is not readily available. Investigative leads are often produced by reviewing notes which are pertinent to the crime.

Notes should be written objectively, without the addition of personal opinions and should contain information which is pertinent only to the specific investigation. Notes should always address these general questions:

- when
- where
- who
- what
- how
- why

Notes should also contain the following specific data:

- time, date, and weather conditions
- complaint or case number
- identification of person(s) interviewed
- identification of other person(s) present
- a brief resume of activities; for example: methods used to search and safeguard the scene, results of surveillance and other observations, evidence found, photos taken, casts and sketches made.

Use a separate page for any statements taken and quote **verbatim** whenever possible. Include the time, date, and place of questioning. Remember, some people are hesitant to supply information and may object to a written record of their statement, so don't antagonize them by insisting. Later, when the first opportunity presents itself, you can record a synopsis of the interview.

A fresh numbered page should be used for each phase of the particular investigation and should be written or printed by hand. **Do not erase errors**; instead, cross them out, make the change, and initial it.

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verbatim: word for word.

Avoid the use of shorthand since notes taken in shorthand may not be understood by other persons involved in the investigation. Use proper abbreviations or, when in doubt, write the complete word or phrase.

The notebook, whether it be bound or looseleaf, should be small enough to carry in the pocket.

The following is a comparison of the advantages and disadvantages of bound book vs. looseleaf notebooks:

	Advantages	**Disadvantages**
Bound book	Notes remain intact. Pages are normally not lost or removed easily so courts will accept them more readily.	Notes pertinent to other cases could be compromised. Requires use of a separate book for each case.
Looseleaf	Notes are easily removed for filing. Notes can be deleted or altered merely by removing or substituting pages.	Pages can be lost or detached. Notes may be more difficult to verify in court.

Sketcher

A photograph does not give accurate information concerning distances. Some objects in a photograph of a scene either are not visible or cannot be identified. A drawing or sketch is the simplest and most effective way of showing distances and identifying items of evidence as well as their location at the scene. In major cases, drawings should be combined with photographs to record crime scenes. The sketcher's job is to draw the crime scene using measurements and legends to accurately identify where critical items were located at the time of the crime.

The sketches produced by the officer at the scene can be used to:

- provide a permanent record of the crime scene
- aid witnesses in explaining what happened or what they saw
- help the court to understand the crime scene and what the witnesses are testifying about
- support photographs which were taken at the scene.

The type of sketch used depends on where the crime was committed. If the scene of the crime is outdoors, an external sketch is used; for crimes committed within a structure, an internal floor plan or an "exploded" chart (drawn as if the four walls were flattened) is used.

Guidelines for external sketches. In an external sketch, identify objects and their locations to show that it is an outside sketch. Figure D-2-2 illustrates how some objects might be identified in a sketch. Remember to keep symbols clear and simple.

One of the suggested conventions of sketch drawing is the use of a **legend**, or key, to explain the sketch. Measurements are listed in the legend rather than being written on the sketch. Letters are used for indicating distance, and numbers are used for item identification. Figure D-2-3 is an example of a sketch with its legend. Note that the sketch should be drawn to scale, that is, it should show how many feet are being represented in an inch (or similar small measure). If possible, show where north is in relation to the sketch.

Guidelines for internal sketches. When evidence of a crime is found inside a building, at least two kinds of sketches can be used. If only one room is of interest, a fallout or exploded chart should be used. Figure D-2-4 is an example of an exploded chart.

If evidence is collected from several rooms, a simple floor plan sketch can be used. Figures D-2-5, D-2-6, and D-2-7 illustrate how a floor plan is done.

In doing a sketch, especially one with many details, it is easier to follow these steps:

STEP 1: Draw an exploded chart or floor plan (Figures D-2-4 and D-2-5).

STEP 2: Sketch in the evidence (Figure D-2-6).

STEP 3: Add measurements, legend, locations (address), and personal data to show who made the sketch (Figure D-2-7).

STEP 4: Indicate the date and type of crime (Figure D-2-7) and sign your name.

In order to draw a more complete sketch, sometimes individual items may be drawn separately in more detailed or enlarged versions.

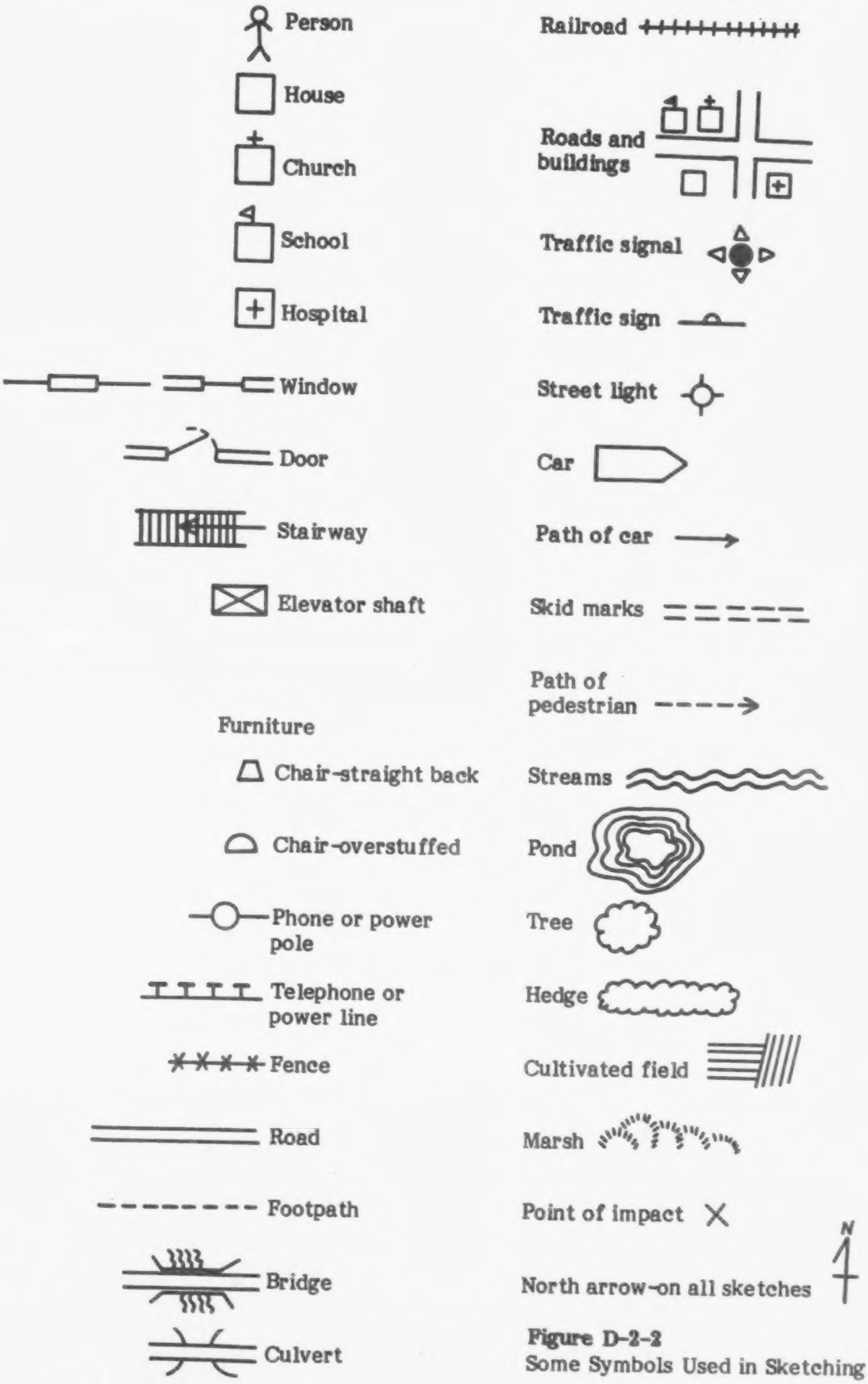
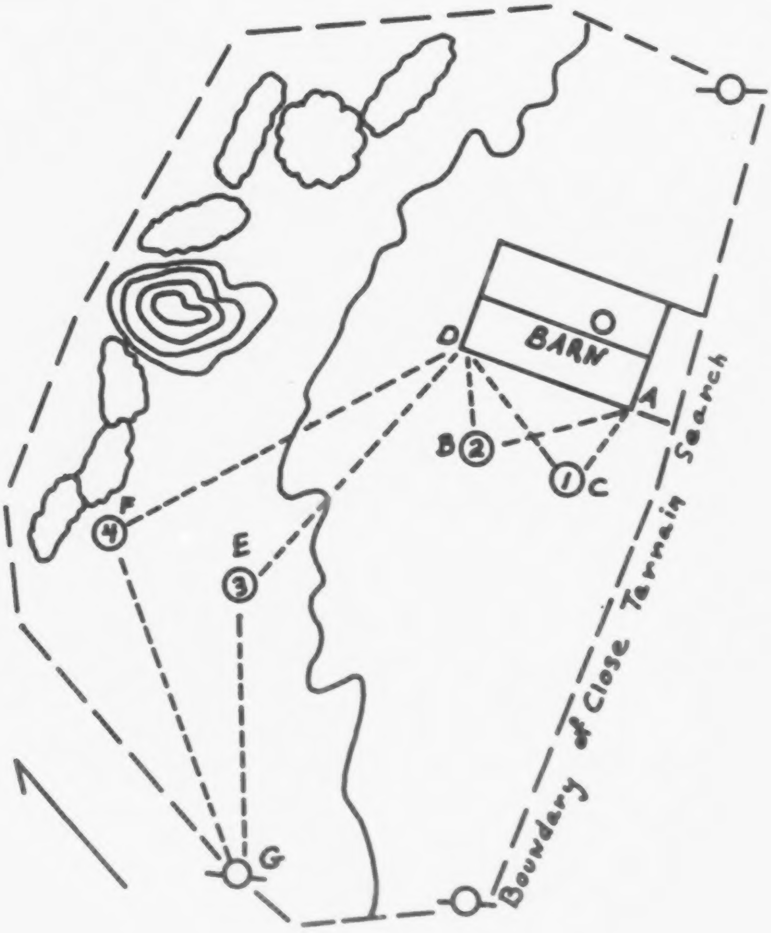

Person
House
Church
School
Hospital
Window
Door
Stairway
Elevator shaft
Furniture
Chair-straight back
Chair-overstuffed
Phone or power pole
Telephone or power line
Fence
Road
Footpath
Bridge
Culvert
Railroad
Roads and buildings
Traffic signal
Traffic sign
Street light
Car
Path of car
Skid marks
Path of pedestrian
Streams
Pond
Tree
Hedge
Cultivated field
Marsh
Point of impact
North arrow-on all sketches
N

Figure D-2-2
Some Symbols Used in Sketching


BARN
D
A
B ②
① C
④ F
E
③
G
Boundary of Close Terrain Search

LEGEND

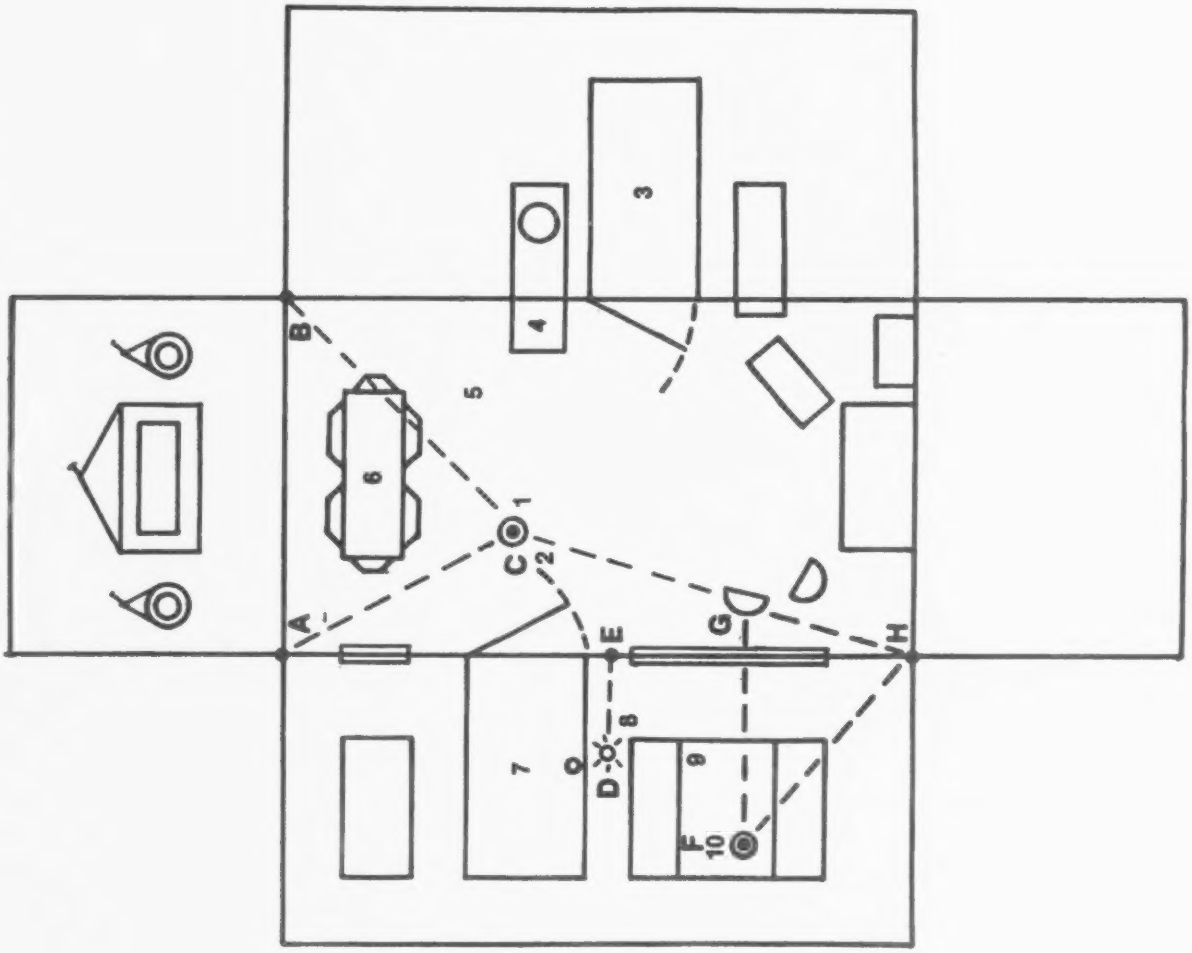
Items

1. Footprints
2. Footprints
3. Black shoe
4. White piece of cloth

Measurements

A - B = 14'
A - C = 16'
B - D = 25'
C - D = 14'
D - E = 55'
D - F = 60'
E - G = 43'
F - G = 54'

Figure D-2-3
Outside Crime Scene Diagram



LEGEND

Distances

A - B = 6 1/2'
B - C = 8'
D - E = 1 1/2'
A - E = 8 1/2'
F - G = 5'
E - H = 8'
G - H = 4 1/2'
F - H = 7'
C - H = 11'

Items

1. Body
2. Bloodstain
3. Hallway door
4. Television
5. Gun
6. Dining table and chairs
7. Outside door
8. Bullet hole in wall
9. Window
10. Bullet hole in window

Figure D-2-4
Exploded Chart (Step 1)

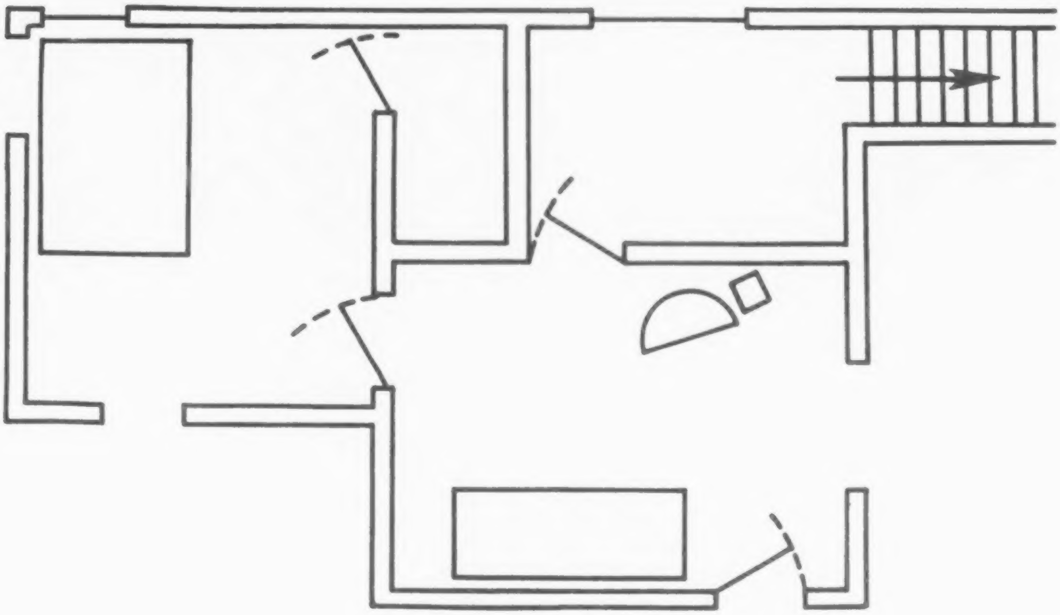


Figure D-2-5
Floor Plan (Step 1)

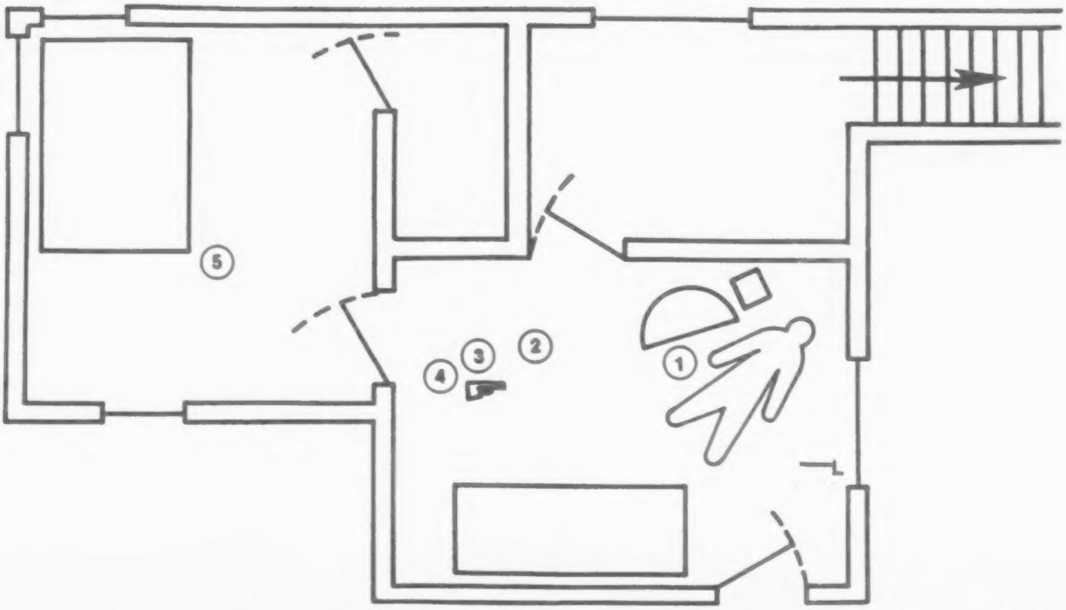
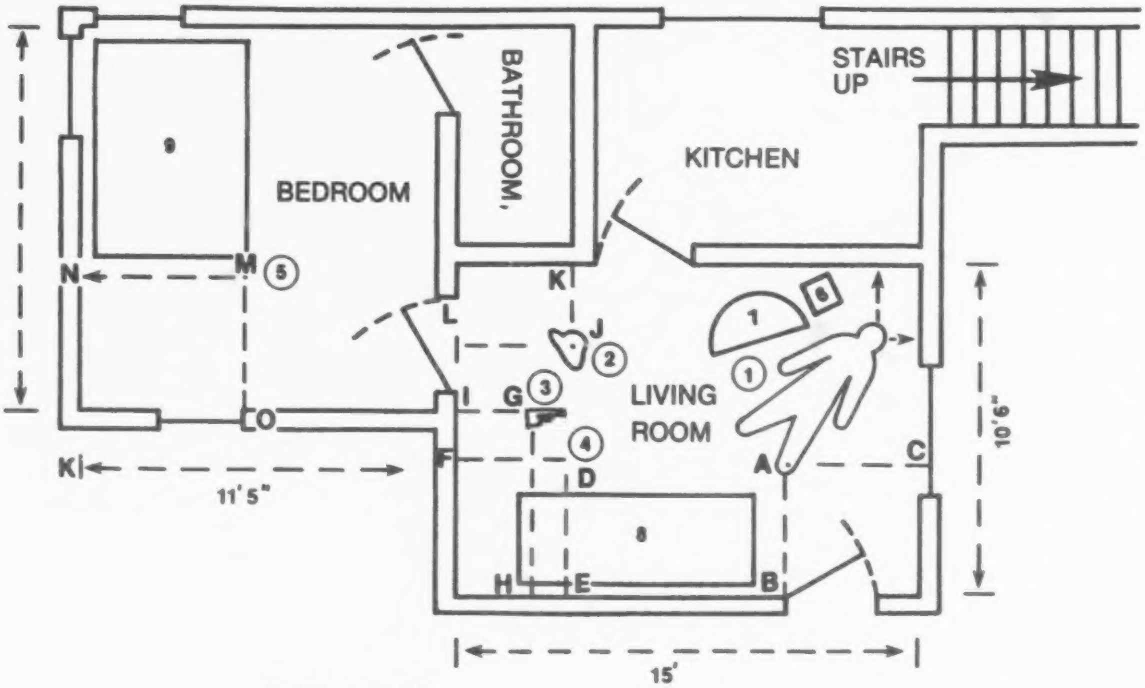


Figure D-2-6
Adding Evidence (Step 2)


BEDROOM
BATHROOM.
KITCHEN
STAIRS UP
LIVING ROOM
1
2
3
4
5
6
8
9
A
B
C
D
E
F
G
H
I
J
K
L
M
N
O
11'5"
10'6"
15'

JOHN C. DOE
1056 65th St. (Apt. 2)
Any City, Florida

HOMICIDE

Drawn by Patrolman C. H. Jones
September 1, 1982
(Scale: 1/2" = 1')

LEGEND

Distances

A - B = 4'9"
A - C = 4'3"
D - E = 5'
D - F = 3'2"
G - H = 5'9"
G - I = 2'
J - K = 2'3"
J - L = 4'1"
M - N = 5'2"
M - O = 4'3"

Items

1. Body (face down)
2. Bloodstains
3. Gun
4. Cartridge case
5. Torn cloth
6. Floor lamp
7. Chair
8. Sofa
9. Bed

Figure D-2-7
Completed Crime Scene Sketch (Steps 3 and 4)

Measurer

The measurer works closely with the sketcher at the crime scene because measured distances between items are important parts of the sketch and are included in the legend. There are two types of measuring procedures, triangular and coordinate (right angle).

For **triangular** measurements:

STEP 1: Think of the piece of evidence as a corner of a **triangle.**

STEP 2: Choose two fixed points on the crime scene, such as corners of a room, power posts, and so on. These should be on two sides of the piece of evidence in question.

STEP 3: Starting at each fixed point, measure the distance to the evidence. Measure the distance between the two fixed points.

STEP 4: Draw in (or have sketcher draw in) the measured distances on the sketch, using dotted lines to connect each fixed point to the piece of evidence. Note that these lines would be two sides of a triangle.

See Figures D-2-3 and D-2-4 which show the use of triangular measurements.

For **coordinate** measurements:

STEP 1: Think of the piece of evidence as a corner of a **rectangle.**

STEP 2: Choose two fixed straight lines on the crime scene, such as walls, an extended wall line, and so on. The two lines should meet rather than parallel each other.

STEP 3: Measure a perpendicular line from the evidence to one wall.

STEP 4: Measure another perpendicular line to the other wall. The two lines should be at right angles to each other.

STEP 5: Draw in measured distances on the sketch using dotted lines to connect the evidence to each wall. Note that you have drawn two sides of a rectangle (the other two sides are the walls).

See Figure D-2-7 which shows the use of coordinate measurements.

NOTE: When measuring a body at the crime scene, two measurements should be used, one from the center of the head and the other from a foot (see Figure D-2-7). Also, an outline of the body should be drawn with chalk or marked with tape, so that when the body is removed, measurements and photographs can still be taken showing the position of the body.

Photographer

The photographer has an important role at the scene of the crime. Like sketches, photographs capture the scene of the crime and may become important evidence later. Unlike a sketch, a photograph records everything in front of the camera and is not selective.

Because crime scenes are likely to change by the time of the trial, photographs must record the crime scene for future reference. In a set of photographs, evidential facts and circumstances are outlined. For photographs to be admissible as evidence, it must be shown that they are an accurate record of the scene as it was when the first official arrived. Not only should the immediate scene be recorded, but the surrounding area should be photographed as well.

There are three general types of crime scene photographs, showing the locality, the immediate grounds, or the details of the scene.

- **Locality** photographs show the crime scene in relation to its surroundings and should include such items as buildings, streets, sidewalks, and terrain.

- **Immediate grounds** photographs show the scene of the crime within its immediate surroundings. For example, if the crime occurred in the house, the outside garden may be important. If the crime scene is one room, other rooms connected to it should be photographed.

- Photographs of **details** describe only the crime scene or details included within it.

Photographs should be taken of the overall crime scene, the location of all evidence within the crime scene, and close-ups of evidence. Close-ups may be used to record fine details such as words or serial numbers on objects. If there is a body, it should be photographed to show not only its location within the scene, but also the location of any wounds. The photographer should take pictures of the body from various angles to show the type and angle of the wounds more clearly.

Remember:

- There should be at least two pictures taken of everything that is important at the crime scene. It is better to have too many rather than not enough photographs.

- Take notes about each photograph so that later the following information can be written on the back of the photograph:

- subject of photograph
- location
- date
- time taken
- type of crime
- report number
- type of camera and film used
- photographer's signature

NOTE: Basic photographic techniques will be covered in Block VI.

Fingerprinter

The fingerprinter is responsible for locating and lifting prints found at the crime scene as well as the prints of all persons known to be at the scene before and during the investigation. The latter, known as elimination prints, are used to identify those people belonging at the scene.

NOTE: The basic procedures for taking fingerprints will be covered in Block VI.

Evidence Collector

There are five main tasks the evidence collector must complete to fulfill the important job of collecting evidence at the crime scene. These tasks are:

- recognizing different kinds of evidence
- collecting, identifying, and marking specific items of evidence
- documenting evidence
- completing the evidence report
- assuring the proper chain of custody for evidence.

The evidence collector should follow these steps while at the crime scene.

STEP 1: Record the exact location of each piece of evidence (with the sketcher and measurer).

STEP 2: Have the evidence photographed in its exact location prior to removing it.

STEP 3: Mark the evidence and place it in an evidence container without destroying prints or characteristics.

STEP 4: Maintain the evidence in a manner that will show the chain of custody. It is better for just one officer to be responsible for all evidence collected at the scene.

STEP 5: Turn the properly marked evidence over to the agency's evidence custodian.

Collecting, Marking, and Documenting Evidence

There are two kinds of evidence found at a crime scene: **fixed** (**immovable**) and **movable** evidence. Examples of fixed evidence include **latent** fingerprints, shoe prints, tire prints, tool marks, writings or markings on fixed objects, and any objects which cannot be removed from the scene because of bulk, weight, or other factors.

---

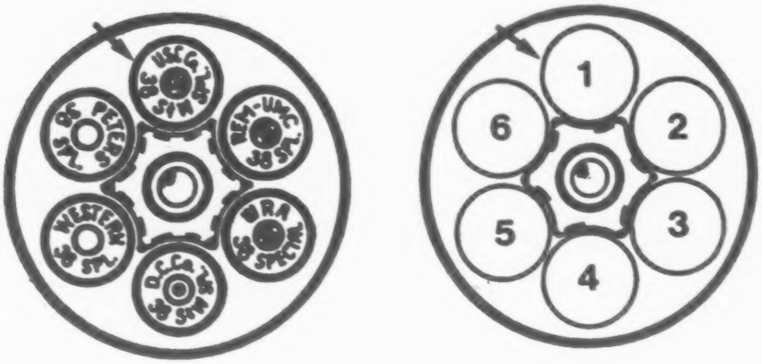
latent: present but not easily seen; hidden.

Moveable evidence can be recovered from the scene and stored until needed for further use during the investigation. One type of movable evidence is **trace** evidence, tiny pieces of material which should not be overlooked: Examples of trace evidence include dried blood flakes, paint flakes, glass fragments, hairs, fibers, insulation from a safe, dust, powders, plant fragments, and similar items. Because trace evidence is small and often fragile, it requires extreme care to prevent loss or contamination. Anything found at the scene could be evidence.

Nothing at a crime scene is too insignificant for proper treatment. Now let's consider eleven specific types of evidence that could be found at a crime scene and how to collect, mark, and document these items.

(1) Firearms

Collecting: Never insert anything into the barrel of a firearm as this may damage identifying characteristics and dislodge material which may be inside the barrel. Pick up the weapon by the trigger guard or checked grip so as not to disturb any fingerprints. **Unload,** but do not wipe or clean the weapon. When unloading, carefully note the location of fired, unfired, and misfired cartridges by diagram as illustrated in Figure D-2-8.



Appearance of cylinder as recovered

Diagram to be made by officer recovering weapon

Figure D-2-8
Revolver Cylinder and Diagram

Marking: Scratch an arrow on the rear face of the cylinder to indicate the chamber position under the hammer (in line with the barrel) when recovering the weapon. Then prepare a diagram numbering the remaining chambers in a clockwise direction, as shown in Figure D-2-8.

Place each cartridge case in a separate plastic or cardboard container with a piece of cotton to prevent damage. Mark the container with initial, date, and numbers to correspond with the numbered chambers in the diagram.

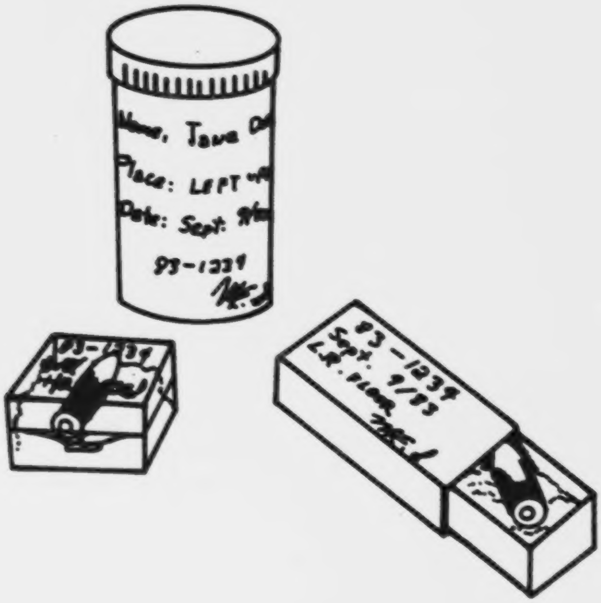


Figure D-2-9
Marking and Packaging Ammunition Components

Record the serial number and description of the weapon. Firearms with no serial number should be marked with your initials on the receiver or the underside of the barrel; never use a nonidentifiable mark such as an X. Do not mark the weapon on any easily removable part such as the stock or grips. Use discretion so that the weapon is not disfigured (see Figure D-2-10). Attach an evidence tag identifying the case number, exhibit number, and date to the triggerguard.

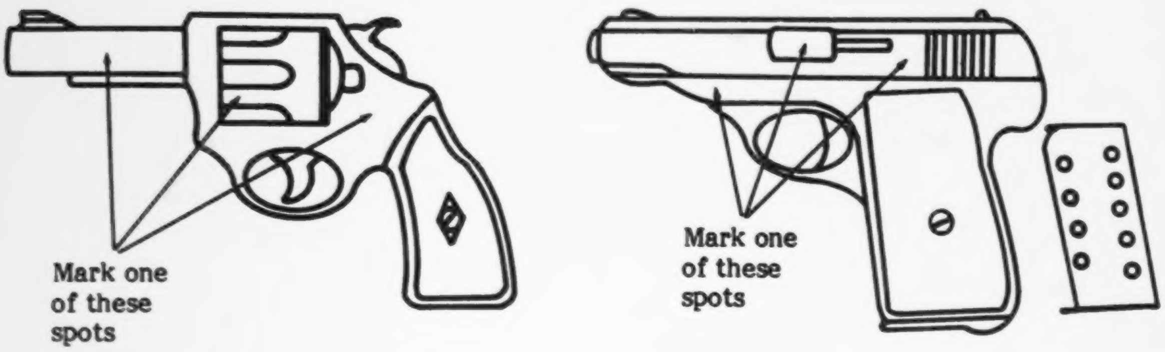


Figure D-2-10
Marking Handguns
(revolvers, automatic pistols, single shot pistols)

If the firearm does not have a serial number, mark the initial of the officer and the date of recovery as indicated.

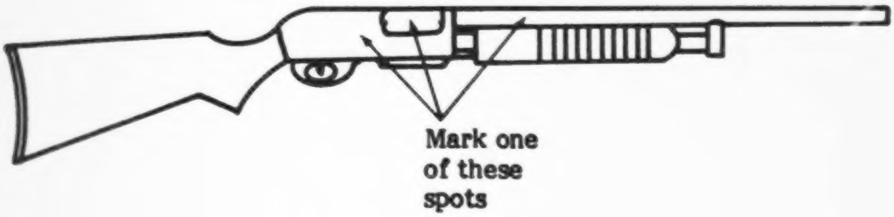


Figure D-2-11
Marking Weapons
(rifles, shotguns, machine guns)

Mark the initial of the officer who recovered the weapon on the barrel, frame, or breechblock as indicated. It is not necessary to mark removable parts or stocks. Attach an evidence tag with case number, exhibit number, and date to the triggerguard.

Taking notes: Note whether the identifying marks (make, model, serial number) have been removed, what the condition of the weapon is, whether it is in working order, and, if so, whether it has any defects which might have an effect on the investigation. Also record whether it has been used to fire a particular bullet or cartridge.

(2) Bullets

Collecting: Handle the bullet so that any extraneous materials will not be dislodged. Do not damage the markings. If a bullet is lodged in wood or similar material, cut out the section containing the bullet and take it to the laboratory. Request that hands or rubber tipped forceps be used when bullets are removed from a body to minimize the possibility of damage to the bullet. Wrap each bullet in tissue or cotton to prevent damage, and place in a separate rigid container (Figure D-2-10).

Marking: Do not mark on the bullet. Rather, seal the bullet in the container and mark the container. Designate each bullet with a letter or a numeral which corresponds to your notes and sketches.

Mark the initials of the officer. If there is more than one bullet, use initials of person who recovered them and the date recovered, and designate each bullet with a letter or numeral. Keep notes concerning the source of the bullets.

Taking notes: Note any readily observable information such as the type and make of ammunition, or the type and make of the weapon from which the bullet was fired (within limits). If more than one bullet is collected, record the order in which they were found and the exact location. The location can be very significant, especially if the bullets collected were fired from more than one weapon.

(3) Cartridge Cases

Collecting: Handle carefully so that the case will not be scratched or marked. Wrap each cartridge case separately to prevent damage. Be sure to note the **location** where each was found because this may be helpful in the investigation, especially if an automatic-loading weapon was used.

Marking: Mark a fired cartridge case by scratching your initial on the inside of the open end of the case (Figure D-2-10). Seal the case in a container and mark the container with your initials, case number, exhibit number, date and where it was found. If the case is too small to mark on the inside place it unmarked into the container and seal it.

Mark an unfired carteridge on its side. Seal it in a container, marking the container with the same information as for a fired cartridge case.

Taking notes: Note the type of ammunition and whether any marks such as ejector or extractor marks are observable.

(4) Shotgun Shells

Collecting: Follow the procedure given for cartridge cases.

Marking: Package in individual containers the same as for cartridge cases and mark the containers as in Figure D-2-10.

Taking notes: Note the type of ammunition and, when possible, the type of shotgun used from an examination of the type and location of marks.

(5) Pellets and Wads (Shotgun)

Collecting: Recover as many pellets as possible; at least four or five are needed for accurate sizing. Always dry the wads before packaging them to prevent deterioration.

Marking: Do not mark the items, but seal them in containers and mark the containers with your initials. Mark where and when they were found.

Taking notes: Note the size and type of ammunition used.

(6) Shot and Powder Patterns

Collecting: When comparing powder patterns, it is necessary to have available the same weapon and type of ammunition used in the incident available for testing. Always seize any ammunition found because that is most likely to be the type of ammunition used. Make accurate measurement patterns on bodies, and photograph, including a scale. Count the number of holes in patterns, if possible, because this may reveal the size of the shot load.

Marking: Initial all submitted items, giving pertinent information about where and when they were found.

Taking notes: Note the measurements observed and characteristics of the wound or damaged area. When possible, note the barrel length or the number of lands and grooves of the weapon.

(7) Tools and Tool Marks

Collecting: Handle tools with care and protect the tips so that any paint chips which might be on them from the scene will not be lost. Never try a tool in a tool mark as this will damage the mark and destroy the evidential value of any paint on the tools. If practical, remove the portion of the item containing the tool mark and submit this to the laboratory for examination.

Marking: The item with the tool mark and all tools should be marked with your initials. Tell where and when they were found.

Taking notes: Note any characteristics of the mark which are readily observable.

(8) Serial Number Restorations

What can be determined: If the removal has not gone too deeply or if the number is obscured by overstamping, it is possible, in most cases, to restore the number. Molded numbers cannot be restored, but stamped numbers can.

Collecting: Do not attempt to raise the number. Take the item to the laboratory, if possible. If this is not possible, contact the laboratory for instructions. Obtain any information about the type of metal in the item, because different types of metals require different chemicals for developing numbers.

Marking: Mark your initials on the item in an area away from the damaged serial number.

Taking notes: Briefly describe the item and how the number has been altered or removed.

(9) **Fibers and Fabrics**

What can be determined: Pieces of cloth, fibers, and threads from clothing, rugs, blankets, and other common objects are often collected as evidence at a crime scene. Examination of these items may show color and type of fiber, the probability of common origin of fibers or threads and articles of clothing, and possible contact between indivduals or between individuals and objects.

Collecting: Package small pieces of cloth and fibers using the druggist fold (see Figure D-2-16). Pieces of cloth may be found under a hit-and-run vehicle. Fibers may be embedded in the paint in damaged areas. Cloth evidence may be found along the path of a criminal's entry into the building, such as a torn screen, broken glass, or other sharp edges. Threads or long fibers may be picked up with the fingers or with tweezers. If the fibers are short or firmly adhering to an item, collect the entire item in a paper bag so that fibers can be removed in the laboratory.

Marking: Seal and mark the container. Clothing items can also be tagged.

Taking notes: Note the location where each item was recovered and any unusual conditions.

(10) **Explosive Residues**

Collecting: The type of explosive used can often be determined from containers, detonating devices (fuses, caps, etc.), and other remains of the explosive device. Be sure to obtain all available materials of this type. Normally, only items near the immediate point of explosion will be of value in examining for residues.

Taking notes: Note the location of any residue wires, blasting caps, or other items which could have been a part of an explosive device.

(11) **Glass**

What can be determined: The direction of force and the sequence of breakage may be shown by reconstructing broken glass. It is important to collect all glass for fracture match determination. Glass may be extremely important in hit-and-run automobile accidents; fragments recovered from the victim may identify the vehicle involved.

Collecting: **Extreme** care must be used when working around broken glass when it is still in a window. A piece could fall out and cut off a hand or fingers. Heavy gloves should be worn at all times. Collect all glass at the scene. Glass gathered from the inside should be packaged separately from the glass taken from the outside. Shoes, clothing, and other objects which have fragments of glass attached should be marked and packaged separately from glass taken individually from the scene.

Marking: Glass should be left in the frame, if possible. Mark the "inside" and "outside" of the glass with masking tape. Masking tape is also appropriate to use to hold the glass in place. If the frame cannot be removed, mark the inside and outside pieces, and package them separately. Initial the packages and identify where and when the glass was found.

Taking notes: Note the distance from the window of all glass collected and make a sketch.

Additional Marking Techniques

Each kind of evidence mentioned above should be marked appropriately. Here are some additional examples of marking techniques.

Evidence tags. For evidence which can have tags attached to it, such as a revolver, fill in the required information and attach the tag (see Figures D-2-12 and D-2-13.)

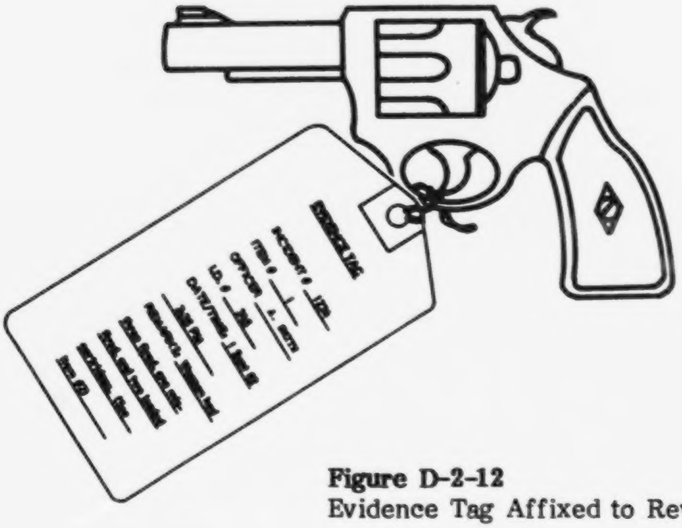


Figure D-2-12
Evidence Tag Affixed to Revolver

How to complete evidence tags:

STEP 1: Enter the incident (case) number.

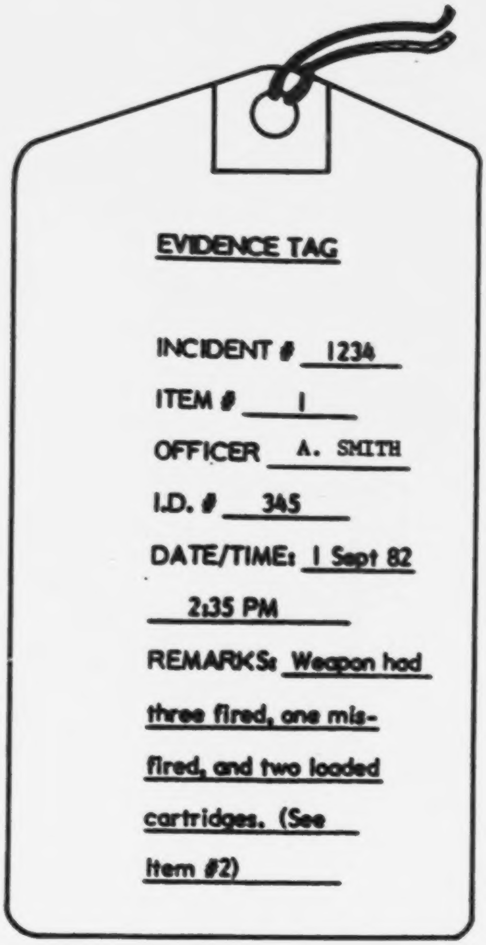
STEP 2: Enter the evidence item number. You will assign this number and will use it again on the evidence report form.

STEP 3: Sign your name.

STEP 4: Enter your I.D. (badge number).

STEP 5: Enter the date and time.

STEP 6: Enter appropriate remarks.



EVIDENCE TAG

INCIDENT # 1234

ITEM # 1

OFFICER A. SMITH

I.D. # 345

DATE/TIME: 1 Sept 82 2:35 PM

REMARKS: Weapon had three fired, one misfired, and two loaded cartridges. (See Item #2)

Figure D-2-13
An Example of
Evidence Tag

Evidence bags and boxes. These kinds of containers are used to safeguard evidence that might become lost if left loose (Figure D-2-14). Information about the evidence should be written on the box or bag as it appears on the tag.

Small cardboard box

Brown bag

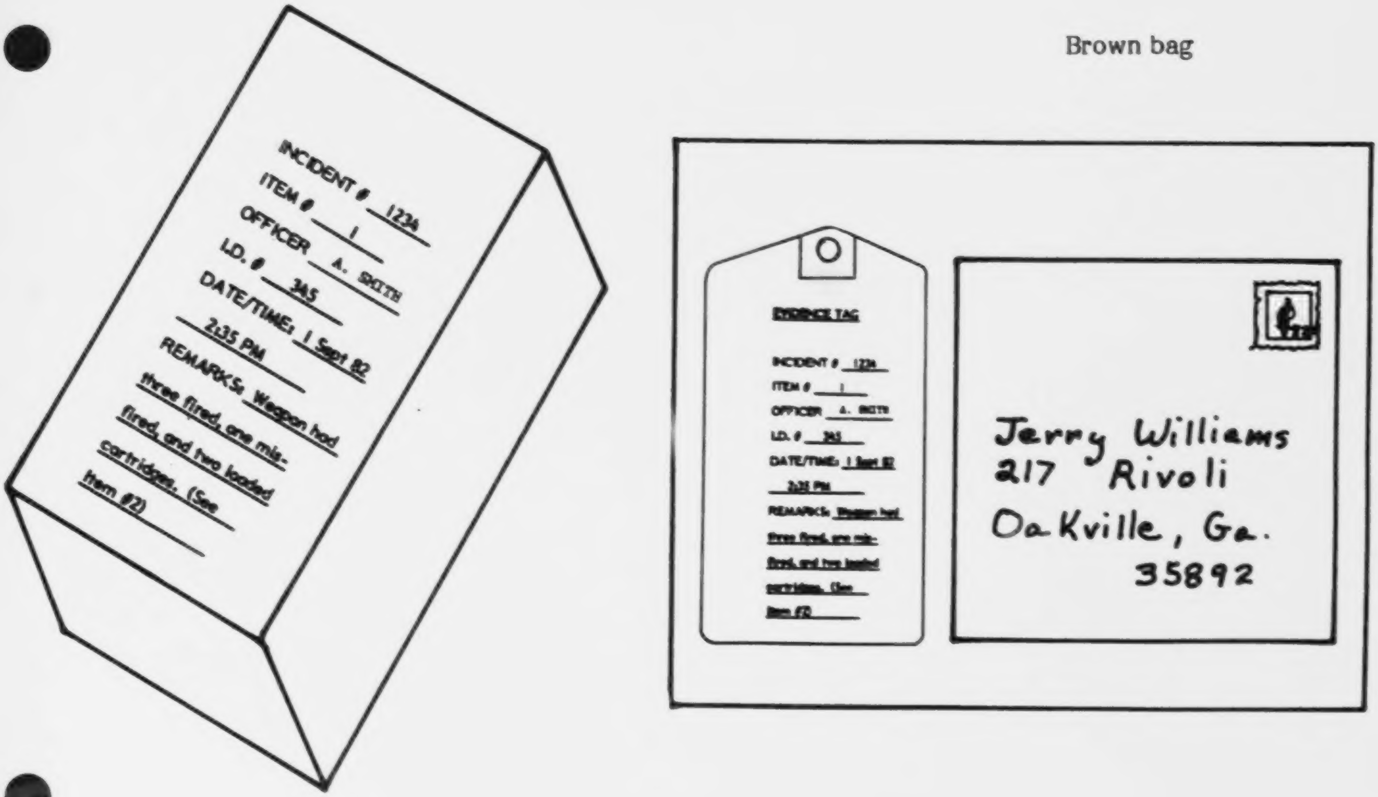

INCIDENT # 1234
ITEM # 1
OFFICER A. SMITH
I.D. # 345
DATE/TIME: 1 Sept 82
2:35 PM
REMARKS: Weapon had
three fired, one mis-
fired, and two loaded
cartridges. (See
Item #2)
EVIDENCE TAG
INCIDENT # 1234
ITEM # 1
OFFICER A. SMITH
I.D. # 345
DATE/TIME: 1 Sept 82
2:35 PM
REMARKS: Weapon had
three fired, one mis-
fired, and two loaded
cartridges. (See
Item #2)
Jerry Williams
217 Rivoli
OaKville, Ga.
35892

Figure D-2-14
Examples of Evidence Bag and Box

The druggist fold (from paper). To preserve trace evidence such as dried blood flakes, paint flakes, glass fragments, hairs, or fibers, the druggist fold is one of the most effective techniques. Place (or sweep) the trace evidence onto an appropriately sized piece of paper, most often a 4 by 5 inch to 8 1/2 by 11 inch piece. Keeping the trace evidence in the middle, fold in from all four sides, as shown in Figure D-2-15. Then tape securely, label, date, and initial it. Place this small paper packet into an envelope and seal. Label, date, and initial the envelope.

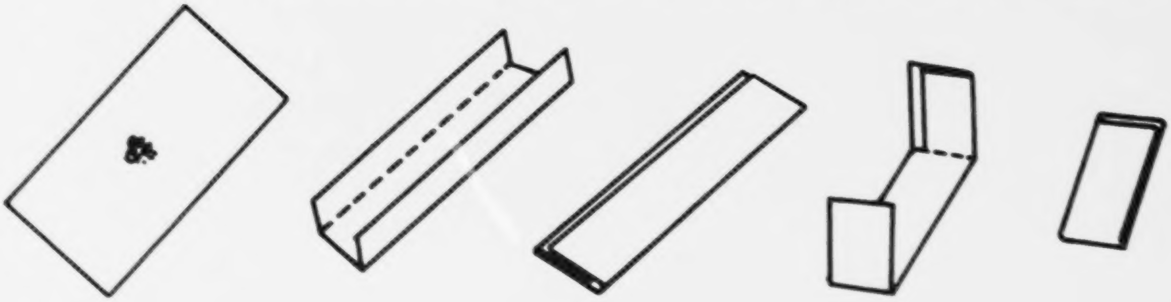


Figure D-2-15
Druggist Fold

The Evidence Report

The evidence report is an accurate list of all evidence found at the crime scene. The report helps keep track of the evidence and shows who has been responsible for it at each step. The officer who collected the evidence will turn the evidence and the report over to the law enforcement agency for storage. This report is in addition to the original report written by the note taker.

How to complete evidence reports: (refer to Figure D-2-16)

STEP 1: Enter the assigned incident (case) number.

STEP 2: Check the type of case contained in the report. In this case, check "Evidence."

STEP 3: Enter the incident type.

STEP 4: Check the status and location. In this case, the evidence was found at 217 Rivoli in Oakville, Georgia.

STEP 5: Enter the item number in numerical sequence.

STEP 6: Enter the quantity.

STEP 7: Enter a brief description of each item. Use more than one line if necessary.

STEP 8: Enter the code or I.D. number of person initially finding the evidence.

STEP 9: Print name, then sign.

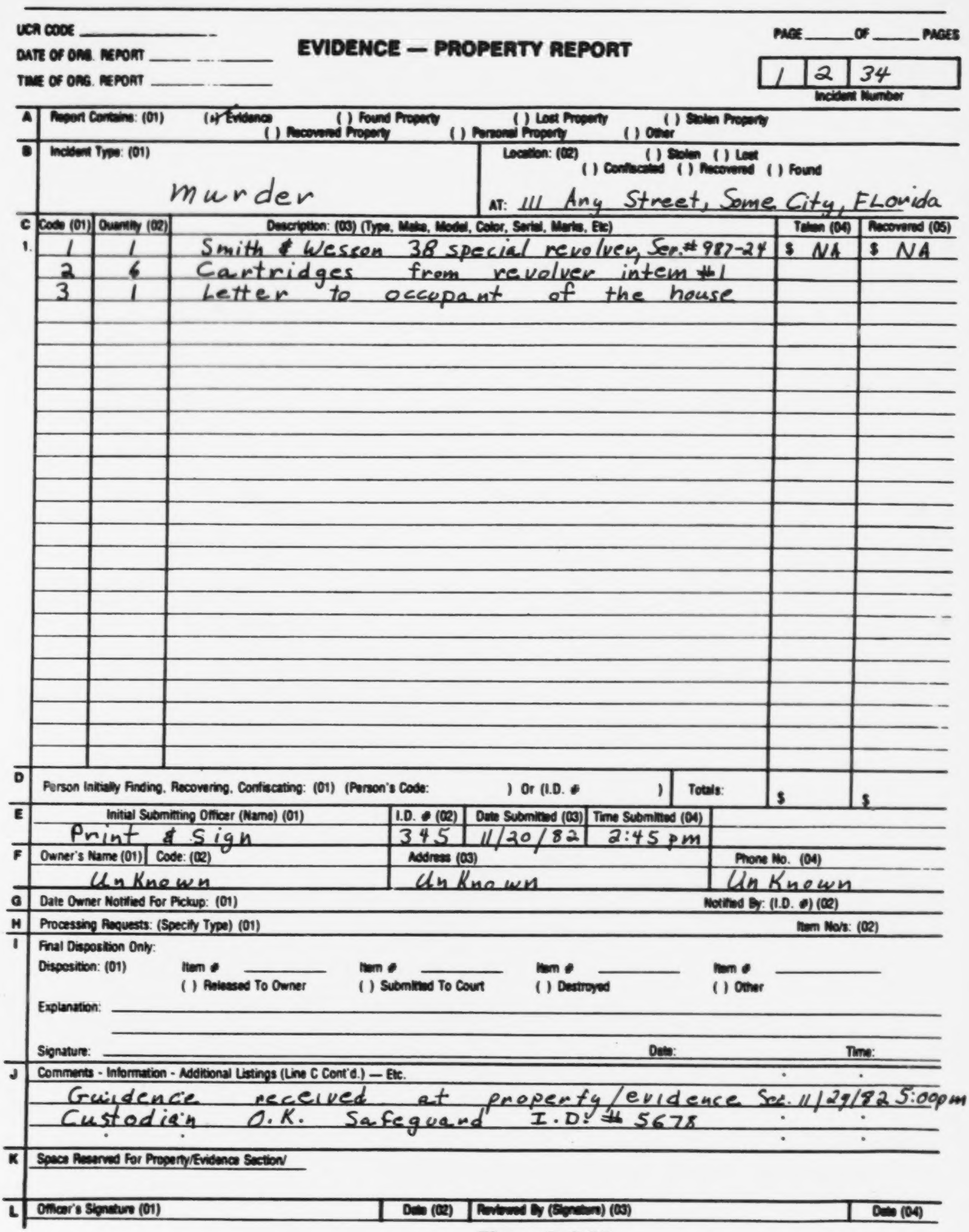
STEP 10: Enter I.D. number (badge number).

STEP 11: Enter the date and time when the report is submitted.

STEP 12: If the owner of the property is known, enter his/her name, the address, and the phone number.

STEP 13: Write any comments or information.

STEP 14: When the evidence is turned in to the Property/Evidence Section, obtain the signature and I.D. number of the officer who receives it and the date and time that you turned it in.



UCR CODE ______

DATE OF ORG. REPORT ______

TIME OF ORG. REPORT ______

EVIDENCE — PROPERTY REPORT

PAGE ______ OF ______ PAGES

1	2	34

Incident Number

A Report Contains: (01) (✓) Evidence ( ) Found Property ( ) Lost Property ( ) Stolen Property ( ) Recovered Property ( ) Personal Property ( ) Other

B Incident Type: (01) murder

Location: (02) ( ) Stolen ( ) Lost ( ) Confiscated ( ) Recovered ( ) Found

AT: 111 Any Street, Some City, FLorida

C	Code (01)	Quantity (02)	Description: (03) (Type, Make, Model, Color, Serial, Marks, Etc)	Taken (04)	Recovered (05)
1.	1	1	Smith & Wesson 38 special revolver, Ser.# 987-24	$ NA	$ NA
	2	6	Cartridges from revolver intem #1		
	3	1	Letter to occupant of the house		

D Person Initially Finding, Recovering, Confiscating: (01) (Person's Code:) Or (I.D. #) Totals: $ $

E	Initial Submitting Officer (Name) (01)	I.D. # (02)	Date Submitted (03)	Time Submitted (04)
	Print & Sign	345	11/20/82	2:45 pm

F	Owner's Name (01)	Code: (02)	Address (03)	Phone No. (04)
	UnKnown		UnKnown	UnKnown

G Date Owner Notified For Pickup: (01) Notified By: (I.D. #) (02)

H Processing Requests: (Specify Type) (01) Item No/s: (02)

I Final Disposition Only:

Disposition: (01) Item # ______ ( ) Released To Owner Item # ______ ( ) Submitted To Court Item # ______ ( ) Destroyed Item # ______ ( ) Other

Explanation: ______

Signature: ______ Date: Time:

J Comments - Information - Additional Listings (Line C Cont'd.) — Etc.

Evidence received at property/evidence Sec. 11/29/82 5:00pm
Custodian O.K. Safeguard I.D. # 5678

K Space Reserved For Property/Evidence Section/

L Officer's Signature (01) Date (02) Reviewed By (Signature) (03) Date (04)

Figure D-2-16
Evidence Report Form

Evidence and the Chain of Custody

It is very important that the "chain of custody" of the evidence be clear. The chain of custody refers to the **possession** of the evidence, specifically, whose care it has been under since being collected. Chain of custody is one way of authenticating evidence. Authentication is required in order for an item to be admitted as evidence. That is, someone must say it is in the same condition as when found at the scene. Any changes in the item must be explained to the jury so that they will not be misled by the condition of the evidence. If chain of custody is the method to be used for authentication, there are strict procedures to be followed. From the moment the evidence collector discovers the piece of evidence until it is presented in court, the continuous possession of that evidence must be established. When the evidence collector turns it over to the law enforcement agency, the person accepting it must sign, date, and indicate the time on the evidence report. Each person who had a bit of evidence in his/her possession may be required to testify that it was either under his/her **immediate** care, or that it was placed in a **locked compartment** to which he/she alone had access, and that the evidence was in no way altered or contaminated. In larger departments, there are often evidence control officers who take charge of the evidence and store it in a vault for safekeeping until it is needed in court.

If the chain of custody is broken, the case could be lost. The following case is an example. At the scene of a fire, a kerosene container (suggesting arson) was found. This container was later traced to a suspect. The fire marshal kept the can in the back of his car and did not guard it properly. The car was left unattended and unlocked at certain times, so that it could not be assumed that the container was left untouched. Therefore, it could not be submitted as evidence, and the case was lost.

Remember: An item to be used as evidence must be guaranteed to be deemed unaltered (except where laboratory analyses have been necessary). If the possession of the evidence is unclear even for a moment, its admissibility in court may be challenged.

Final Crime Scene Investigation

After the crime scene investigation has been completed, there is still one more tool to insure that you have found all evidence: your final search of the area. There are many searches you can use, but the following three are the most common.

The Wall or Grid Search

The officers line up along one side of the room against the wall and proceed across the room to the opposite wall. Then, they again line up against the wall to their left and go across the room to the opposite wall, stopping whenever evidence is located, as in Figure D-2-17.

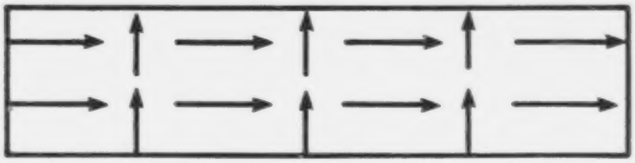


Figure D-2-17
Wall or Grid Search

The Strip Search

The officers using the strip search go back and forth across the room in long strips checking for evidence, using the pattern shown in Figure D-2-18.

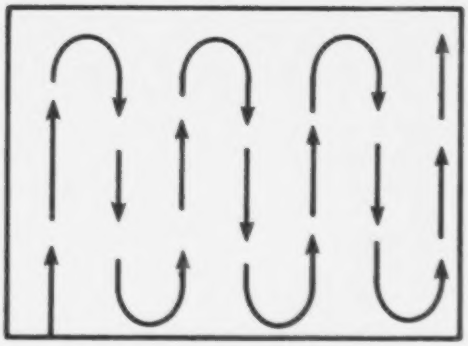


Figure D-2-18
Strip Search

The Inward Spiral Search

The officers using this search start on an outer perimeter or wall of the scene and mark a circle around the crime scene, working in toward the center (Figure D-2-19).

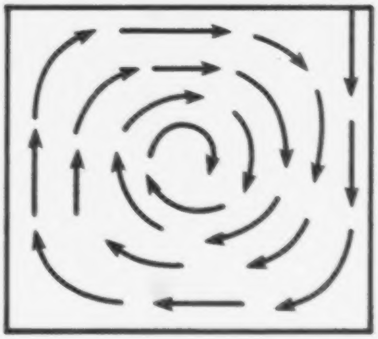


Figure D-2-19
Inward Spiral Search

Summary

The crime scene investigation is a very important part of police work, since it is usually a first step which leads to other police procedures: the arrest of the suspect, the presentation of evidence to the court, and the conviction and sentencing of the offender. The officer must keep all field notes and preliminary reports so he/she can refresh his/her memory in preparation for court. Proper investigation of the crime scene will eliminate the officers' having to go back and investigate again, looking for the evidence needed for conviction of the offender. If you complete your investigation properly, you should not have this problem. Do not leave anything to chance.

Law enforcement officers must be able to fill many jobs at the crime scene. They must also be able to supervise other personnel who may be working under them to collect, mark, and analyze evidence. Jobs that must be assigned or handled at the crime scene include:

- officer in charge
- administrant of first aid
- guard
- interviewer of witnesses
- note taker
- sketcher
- measurer
- photographer
- fingerprinter
- evidence collector.

Now complete the review questions beginning on the next page.

Review Questions (I: D-2)

Write your answers on a separate sheet of paper.

1. What are the **two** basic types of investigations?
2. What are the purposes of a criminal investigation?
3. What are **two** basic methods of collecting information from persons?
4. List **two** categories of evidence.
5. List at least **seven** preliminary tasks that an officer may perform at a crime scene.
6. Write the job title for each job described below.

   a. uses symbols to reproduce the crime scene
   b. produces a ready outline for the preparation of a finished report
   c. provides records of locality, immediate grounds, and details of the crime scene
   d. first officer on the scene
   e. aids injured individuals
   f. records exact location of evidence
   g. takes right angle or triangular measurements
   h. locks all doors
   i. collects information from witnesses
   j. produces elimination prints

7. Describe the method for marking the evidence listed below.

   a. loaded cartridges
   b. fired bullet (recovered)
   c. fired cartridge case
   d. shotgun shells
   e. pellets and wads
   f. shattered glass

8. What is at least **one** desirable characteristic for an investigator conducting interviews?
9. List **three** types of final crime scene searches and give a brief description of each.

Check your answers with the correct ones provided in the answer key.

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Block I: Law Enforcement System
Unit D: Law Enforcement Operations
Section 3: Accident Investigation

Ask your instructor for the pretest for this section (I: D-3). After you complete the pretest, your instructor will let you know whether to study this section or to take the posttest.

Introduction

Along with crime scene investigation, accident investigation has long been a basic and necessary part of law enforcement. With the ever-increasing use of the automobile on our streets and roadways, the principle law enforcement job, to protect life and property, has become even more difficult due to increases in automobile accidents.

A traffic accident defies a rigid set of chronological steps for proper handling. The law enforcement officer's course of action will be determined by a variety of factors which cannot be predetermined.

Confusion, hysteria, injuries, fire, foul weather, bad location, high speed traffic, and poor visibility are some of the elements which may be encountered at the scene. It is **imperative** that officers have the ability to make sound decisions quickly and see to it that their orders are carried out. The law enforcement officer must effectively control the situation at all times after arriving at the scene.

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imperative: mandatory, required.

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Match accident investigation terms with their definitions.
2. List type and severity classifications of motor vehicle accidents.
3. Identify operational factors which cause traffic accidents.
4. Identify conditional factors and the attributes and modifiers which cause traffic accidents.
5. Identify the nine steps that an officer follows during an accident investigation.
6. Identify the additional evidence that is required when an accident results in death or major injury.
7. Identify the five groups which are most often involved in pedestrian accidents.
8. List the information which should be collected during the investigation of a hit-and-run accident.

Definition of Accident Investigation Terms

The following terms will be encountered throughout this section. Study them before you proceed. These definitions are taken from the publications, Traffic Accident Investigators Manual for Police, Northwestern University Traffic Institute; Manual on Classification of Motor Vehicle Traffic Accidents, Committee on Uniform Traffic Accident Statistics; and Dictionary of Highway Traffic, by Baker and Stebbins.

General

- **accident:** an unintended event that produces injury or damage.
- **motor vehicle accident:** an accident involving a motor vehicle in motion, but not involving aircraft or watercraft.
- **motor vehicle traffic accident:** any motor vehicle accident that occurs on a trafficway or that occurs after the motor vehicle runs off a roadway but before events are stabilized.
- **motor vehicle nontraffic accident:** any motor vehicle accident which occurs entirely in any place other than a trafficway.
- **other road vehicle traffic accident:** any other road vehicle accident that occurs on a trafficway or that occurs after the vehicle runs off a roadway, but before events are stabilized.
- **motor vehicle:** any mechanically or electrically powered device, not operated on rails, upon which or by which any person or property may be transported or drawn upon a highway.
- **trafficway:** the entire width between boundary lines of every way or place open to the use of the public for purposes of vehicular traffic as a matter of right or custom.
- **roadway:** that portion of a trafficway which is improved, designed, or ordinarily used for vehicular travel, exclusive of the shoulder. In the event the trafficway includes two or more separate roadways, the term "roadway" refers to any such roadway separately, but not to all such roadways collectively.
- **road:** that part of the trafficway which includes both the roadway and any shoulder beside the roadway.
- **pedestrian conveyance:** any human-powered device by which a pedestrian may move, or by which a person may move another pedestrian, other than by pedaling.
- **pedal cycle:** a vehicle operated solely by pedals and propelled by human power.
- **motorcycle:** a two-wheeled motor vehicle having one or more riding saddles and sometimes a third wheel for the support of a sidecar or vehicle.
- **railway train:** any device, with or without coupled cars, designed for transport upon a railway, including any device designed to operate upon railway tracks under its own power, such as a motor vehicle equipped with flanged wheels.

- **pedestrian:** any person not in or upon a motor vehicle or other road vehicle.
- **driver:** the operator of any motor vehicle or other road vehicle.
- **in transport:** the state or condition of a vehicle when it is in use primarily for moving persons or property (including the vehicle itself) from one place to another, and is in motion or in readiness for motion or on a roadway, but not parked in a designated parking area.
- **transport accident:** any accident involving a device designed primarily for, or being used at the time primarily for, conveying persons or goods from one place or another.
- **shoulder:** that portion of the road touching the major roadway for accommodation of stopped vehicles, for emergency use, and for lateral support of the roadway structure.

Events and Situations in Traffic Accidents

- **perception of hazard:** seeing, feeling, or hearing and understanding the unusual or unexpected movement or condition that could be taken as a sign of an accident about to happen. The point of perception would be the point on the road at which the driver perceived the hazard.
- **encroachment:** movement into the path assigned to another traffic unit.
- **point of no escape:** that place and time after or beyond which the accident cannot be prevented by the traffic unit under consideration.
- **maximum engagement:** the greatest collapse or overlap in a collision.
- **injury:** receiving bodily harm.
- **key event:** an event on the road which characterizes the manner of occurrence of a motor vehicle traffic accident.
- **crucial event:** whatever occurrence the traffic unit would have avoided by escaping the hazard.
- **point of possible perception:** the place and time at which the unusual, unexpected movement or condition could have been perceived by a normal person.
- **final position:** the place and time when objects involved in the accident finally come to rest without application of power.
- **initial contact:** the first accidental touching of an object collided with by a traffic unit in motion.

Units of Traffic Accidents

- **traffic unit:** any person using a trafficway for travel, parking, or other purposes as a pedestrian or driver, including any vehicle, other device, or animal used for this purpose.
- **noncontact unit:** a traffic unit which contributes to an accident but strikes nothing and suffers neither damage nor injury.
- **single unit accident:** an accident in which only one traffic unit is involved.
- **multiple unit accident:** accident in which two or more traffic units are involved.

Classes of Motor Vehicle Traffic Accidents

- **fatal traffic accident:** any motor vehicle accident that results in fatal injuries to one or more persons.
- **nonfatal injury accident:** any motor vehicle accident in which there is no fatal injury to any person, but only damage to the motor vehicle, to other motor vehicles, or to other property including injuries to animals.
- **property damage accident:** any motor vehicle accident in which there is no injury to any person, but only damage to the motor vehicle, to other motor vehicles, or to other property including injuries to animals.

Traffic Accident Causation

- **cause:** that which brings about or effects a result.
- **traffic accident cause:** a combination of simultaneous and sequential circumstances without any one of which the accident could not have happened.
- **factor:** any circumstance connected with a traffic accident without which the accident could have not occurred. Factors may be either actions or conditions.

Miscellaneous

- **hazard:** a dynamic situation in which a crucial event will result if direction and acceleration of moving objects continue unchanged.
- **collision course:** course along which the space between objects diminishes, and the angle between the path of either and a line between them is constant.
- **evasive action:** the reaction of a traffic unit to a dangerous situation it has perceived.
- **dynamic situation:** the time and space available for evasive action. It involves several elements such as speed, direction, change of speed and direction, and position.
- **driving strategy:** any action while a traffic unit is on a trip which increases or decreases the probability of successful evasive action by that unit if a hazard develops.
- **attributes:** any inherent characteristic of a trafficway, a vehicle, or a person making a trip on the trafficway that affects the probability of a traffic accident.
- **modifiers:** any circumstances which produce changes in attributes.
- **safe speed:** speed adjusted to the potential or possible hazards of the road and traffic situation ahead.

Classification of Motor Vehicle Traffic Accidents

Motor vehicle accidents can be classified by type and by severity as follows:

1. Noncollision
   a. overturning
   b. other noncollision

2. Collision between vehicles and
   a. pedestrian
   b. motor vehicle in transport
   c. motor vehicle on other roadway
   d. parked motor vehicle
   e. railway train
   f. pedal cyclist
   g. animal
   h. fixed object
   i. other object (including other road vehicles)
   j. hit and run

3. Severity
   a. fatal injury
   b. incapacitating injury
   c. nonincapacitating injury
   d. possible injury
   e. no injury

Causes of Traffic Accidents

The cause of all traffic accidents lies in a combination of simultaneous and sequential factors leading up to the accident. If any one of these factors had been missing, the accident would not have taken place. Two basic types of factors have been identified:

- operational factors (acts)
- conditional factors (attributes)

Operational Factors in Traffic Accidents

Operations which fail and lead to accidents are termed **operational factors** in those accidents. There are two levels of operational factors based on their nearness or proximity to the accident:

1. Faulty evasive action

   - accelerated - too much, not enough, or at the wrong time
   - decelerated - too much, not enough, or at the wrong time
   - changed course - in wrong direction, too much, or not enough
   - failed to take any evasive action when necessary

2. Defective driving strategy

   - unsafe speed - too fast or too slow
   - wrong position, direction, or movement - (most of these are violations of the law such as improper passing, improper turns, etc.)
   - other acts which make successful evasive action impossible if a hazard develops

Operational factors are **acts.** Failure in the performance of these acts contributes to accidents. The functional failure may occur in any or all of the three operational steps listed below:

STEP 1: **Recognition** - a phase of evasive action, strategy, or preparation related to traffic accidents, perceiving hazards and general situations. Recognition may fail by **misperception**, delay in turning attention in proper direction, or in ignorance of the significance of what has been perceived.

STEP 2: **Decision** - a phase of evasive action, strategy, or preparation related to traffic accidents, selecting action appropriate for situations encountered on the trip. Decision depends on recognition and is executed by performance.

STEP 3: **Performance** - a phase of evasive action, driving strategy, or preparation related to traffic accidents, doing something decided upon in relation to the trip. It reflects mistakes in execution but not in decision.

Conditional Factors in Traffic Accidents

Factors which contribute to an accident but cannot be classified as operational factors are called **conditional factors.** Conditional factors include characteristics of trafficways, vehicles, and people and are usually defined as either **attributes** or **modifiers.** Remember that an attribute is any **inherent** characteristic of a trafficway, a vehicle, or a person making a trip on a trafficway that affects a traffic accident. Attributes can be changed by modifiers. Modifiers are things that change the condition of a road, a vehicle, or a driver to a more (or less) hazardous condition. Here are some examples of conditional factors relating to trafficways, vehicles, and people.

1. Conditional factors of trafficways:

Attributes

1. alignment
2. surface character
3. dimensions
4. restraining devices
5. signals, signs, and markings
6. artifical light
7. visibility
8. view obstruction
9. warning signs
10. guide signs

Modifiers

1. weather
2. natural light
3. roadside objects
4. temporary roadside activity
5. objects on road
6. road damage
7. wear
8. deterioration

---

misperception: act of perceiving incorrectly or wrongly.

inherent: belonging by nature or settled habit.

2. Condition factors of vehicles:

Attributes

1. control arrangement
2. operating space
3. dimensions
4. weight
5. stability
6. performance
7. road illumination
8. view obstruction
9. instruments
10. signalling devices
11. recognizability

Modifiers

1. glare
2. weather
3. surface deposits
4. cargo
5. passengers
6. defective parts
7. damage
8. deterioration
9. wear

3. Condition factors of people:

Attributes

1. sensory abilities
2. intelligence
3. judgement
4. coordination
5. size, stature, and limbs
6. strength
7. knowledge
8. skill
9. habits
10. attitudes
11. motives

Modifiers

1. poisons
2. medicines
3. diseases
4. fatigue
5. emotional upset
6. preoccupation
7. injury
8. clothing
9. prosthetic devices and aids
10. weather

Figure D-3-1 on the next page shows a summary of the factors resulting in an accident. It is the responsibility of the traffic accident investigator to look at the results, determine the crucial event, determine the operational factors, and then determine the conditional factors.

Figure D-3-1
Relationship of Motor Vehicle Accident and Its Investigation

THE ACCIDENT

Conditional Factors		Operational Factors		The Crucial Event		The Results
Attributes of: 1. Drivers and pedestrians 2. Vehicles 3. Road and environment	produce	Acts: 1. Defective driving strategy 2. Faulty evasive action	produce	1. Collision, or 2. Overturn, or 3. Other non-collision	produces	1. Final vehicle positions 2. Damage 3. Injury

THE INVESTIGATION

The Results		The Crucial Event		Operational Factors		Conditional Factors
1. Final vehicle positions 2. Damage 3. Injury	produced by	1. Collision, or 2. Overturn, or 3. Other non-collision	produced by	Acts: 1. Defective driving strategy 2. Faulty evasive action	produced by	Attributes of: 1. Drivers and pedestrians 2. Vehicles 3. Road and environment

Traffic Accident Investigations

Traffic accident investigation can be defined as: "Collecting evidence and information, usually at the scene of a traffic accident, to determine what happened and who and what were involved in the accident."

Purpose of Traffic Accident Investigation

- to secure specific information about accidents in order to know better how to prevent future accidents
- to find out whether there is enough evidence of a law violation to arrest someone
- to secure and record specific information about accidents so that general statistical data is available, and so that related programs may be properly administered.

Activities Involved in Traffic Accident Investigation

- taking emergency measures to keep the accident from becoming worse
- seeking facts and information
- recording information
- following-up with law enforcement duties of citation or arrest, notification, etc.

Reported and Investigated Accidents

Accident reporting involves getting and recording the necessary information to establish exactly where and when the event took place, to identify who and what was involved, to describe how much injury or damage resulted, to indicate the intended course of traffic units, and to specify certain additional circumstances of the occurrence.

- Its objective is to record facts and information but not opinions.

- The end result is a routine, completed accident report form for every accident.

- If there is no other official record except this form, it is considered as reported only.

An **investigated accident** is one in which there may be in addition to the accident report, another formal report either of information gathered for further study or of conclusions reached. These may be on the Driving While Intoxicated/Driving Under the Influence of Drugs (DWI/DUID) traffic case report, other traffic case report, arrest ticket, jail receipt, field sketch, statement, or any other notes made by the investigator.

Accident Investigation Procedures

There are nine steps a law enforcement officer must follow during an accident investigation.

STEP 1: Responding to the accident.

STEP 2: Arriving at the accident scene.

STEP 3: Protecting the scene.

STEP 4: Checking for injuries.

STEP 5: Clearing the accident scene.

STEP 6: Conducting the investigation.

STEP 7: Completing an accident report.

STEP 8: Issuing a traffic citation.

STEP 9: Completing the accident scene investigation.

Let's explore each of these nine steps in further detail.

STEP 1: **Responding to the accident.** Once the officer has been dispatched to investigate the accident, he/she should start to organize in his/her mind the steps that should be followed on arrival at the scene. The officer should go over how he/she is going to:

- drive the cruiser
- park the cruiser
- protect the accident scene
- protect the injured.

The type of accident to which the officer responds will determine how the cruiser is driven. If it is an accident **with injury**, the officer will respond according to department policy on the use of the emergency lights and siren, proceeding as quickly as possible but using all emergency driving steps to reach the accident safely without being involved in an accident him/herself. If the accident is **without injuries**, the officer should proceed directly to the accident, driving at a normal speed and obeying all traffic regulations.

STEP 2: **Arriving at the accident scene.** Immediately upon arrival at the accident scene, the officer must do the following before leaving the cruiser.

- As the accident scene is approached, the officer should check for electrical wires that may be down. If any are down, the officer should not leave the cruiser but use the public address system to advise the people in the car of the danger and have them stay in the car until the electrical wires can be removed. (The power company is notified to respond to the accident.)

- The officer should check for gas leakage. If leaks are noticed, the fire department is notified to respond immediately to wash the gas off the street. (The officer should immediately take steps to eliminate the possibility of fire while waiting for their arrival.)

STEP 3: **Protecting the scene.** The officer then parks the cruiser in a position which will protect the scene from oncoming traffic and leaves the cruiser's emergency lights on as a warning to other motorists.

STEP 4: **Checking for injuries.** When the officer has the situation under control to this point, he/she leaves the cruiser and checks for injuries. If injured persons cannot be moved, he/she instructs the drivers to turn off the ignition or does it him/herself. The officer checks injured parties to see how serious the injuries are and then calls the necessary emergency rescue units to treat and transport the injured. If the injured can walk, but the vehicles cannot be moved off the street or roadway, the officer removes the injured to a safe location away from the accident. The injured are not placed in the police cruiser which is parked to protect the scene because the cruiser could be struck by another vehicle and cause additional injury.

STEP 5: **Clearing the accident scene.** If the vehicles can be moved, the officer should have them moved off the street so that traffic can continue to flow. If the vehicles cannot be moved, the officer might have to call for additional officers to handle traffic and for wreckers to remove the cars while the officer investigates the accident.

STEP 6: **Conducting the investigation.** The officer must remember that an accident investigation is just like any other investigation. He/she must collect the facts in order to make a proper investigation. To do this, the officer must:

- separate the witnesses so that their perception of events will not be compared and changed
- determine who the drivers are and obtain the driver's license of each, plus their insurance cards and registrations of vehicles
- determine the location of the vehicles prior to the impact
- determine the point of impact of each vehicle
- note the nature of the damage to the vehicles
- locate any skid marks left by either vehicle
- locate any other information that is available at the scene and collect it for evidence
- complete accident reports.

Now, let's look at these tasks in more detail.

After the accident scene has been protected and cleared or at least stabilized, and after persons involved have been checked for injuries, the officer begins to gather information required for the accident report. Evidence will be collected through interviews with drivers, occupants, and witnesses, and from the scene itself.

Evidence from interviews. First, the officer should question each driver separately and begin to fill out the state accident report form. By asking additional questions and observing each driver, the officer will be able to determine if:

- the driver's license is valid
- either driver is intoxicated
- either driver is suffering from any abnormalities such as drug addiction or mental illness.

Asking simple questions like "What is your name?", "What is your address?", and "What is your date of birth?" will give the officer an opportunity to observe the driver. If one of the drivers has an odor of alcohol on his/her breath, slurred speech, or glassy eyes, the officer has probable cause to run a field sobriety test to determine if the driver is under the influence of alcohol. This test is given to the driver away from the traffic lane so that he/she will not be injured, or it can be given at the jail. The field sobriety test includes the following tests:

- **Finger to nose test:**
  a. request driver to stand erect with arms parallel to ground
  b. request driver to touch nose with finger, one arm at a time

- **Straight line test:**
  a. request driver to walk a straight line, placing one foot in front of the other (heel to toe)
  b. request driver to walk approximately eight feet, turn around, and walk back to you

- **Finger coordination, balance, and visual accuracy test:**
  a. place coins of different denominations on the ground in front of the driver
  b. request driver to stoop over and pick them up, one coin per stoop as you tell him/her which coin to pick up

- **Ability to walk test:**
  a. request driver to walk six paces
  b. request driver to turn around and walk back to you

- **Ability to retain balance test:**
  a. request driver to stand at attention, heels and toes together and head tilted upward

Record the driver's reaction to each test and add the results of the field sobriety test to the accident report. A chemical test for intoxication should also be given as soon as possible.

If the driver has dilated pupils but does not smell of an alcoholic beverage, he/she might have sustained a severe head injury in the accident. The officer should ask the driver if he/she received a blow to the head at the time of the accident. The driver should be checked by an emergency medical unit as soon as possible.

After each driver has been interviewed separately, they should be brought together and questioned again, with the officer pointing out examples of the causes of the accident. For example, unusual situations concerning the traffic flow, traffic signals and devices, weather, and street conditions could be mentioned.

The officer should question all occupants of the vehicle(s), keeping in mind that passengers, especially friends or relatives, make poor witnesses. The accident has been a shock to them, and they might not have seen what happended. Also, they may wish to protect the driver who is a friend or relative.

The officer should also seek out any bystanders who may have seen the accident. Witnesses are generally questioned after the officer has talked to the drivers. However, it should be noted that in some cases it may be best to talk to witnesses before you talk to the drivers. Request the following information from all those questioned:

- name
- address
- phone number
- place of employment
- employment phone number

This information will be needed if it is necessary to contact the witnesses later. The officer then says to each witness, "Please tell me what you saw," and takes his/her statement, noting:

- where witness was standing
- what the cars were doing prior to the accident
- what occurred at the time of the accident.

Remember: Witnesses may not realize their importance to the investigation and may try to leave. Talk to them as soon as possible.

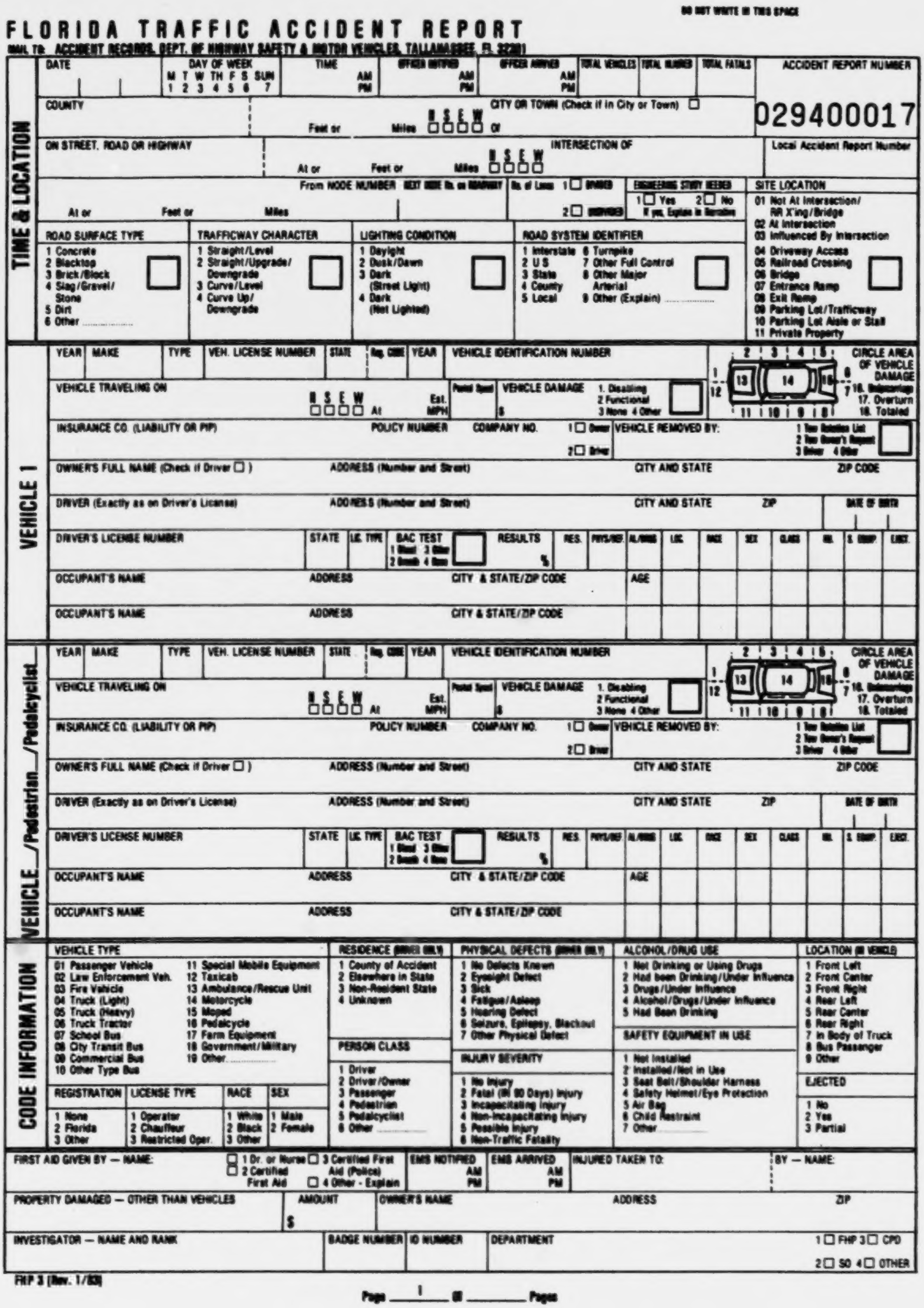
Physical Evidence. After the officer has questioned the drivers, occupants, and witnesses, he/she then starts the recording of observations and the collection of physical evidence. This physical evidence can be placed in four categories:

- **weather, time/light, location**
  rain, snow, fair skies, cloudy
  night, day, twilight, streetlight
  bridge, exit ramp, private property
- **road conditions**
  type of pavement
  surface of street or road
  obstructions to vision or traffic control devices
  traffic conditions
- **marks on the street or highway**
  skid marks, tire tracks

- **point of impact** (the exact position of the vehicles at the time of the accident)
  dirt from the cars
  broken glass or chrome

The damage each vehicle sustained and the location of the damage on the vehicles will indicate their positions at the time of the impact. The officer will have to take careful measurements of the accident scene in order to complete the diagram section of the accident report. Another officer should assist, when possible, in the measuring and sketching of the scene so that both officers can support testimony given in court.

STEP 7: **Completing the traffic accident report.** A copy of the Florida Traffic Accident Report (Figure D-3-2) is reproduced on the next two pages. When completed, this report will show all of the officer's findings. A completed report form contains sections with instructions for using the many codes required and for filling in the details of the accident.



DO NOT WRITE IN THIS SPACE

FLORIDA TRAFFIC ACCIDENT REPORT

MAIL TO: ACCIDENT RECORDS, DEPT. OF HIGHWAY SAFETY & MOTOR VEHICLES, TALLAHASSEE, FL 32301

TIME & LOCATION

DATE | DAY OF WEEK M T W TH F S SUN 1 2 3 4 5 6 7 | TIME AM PM | OFFICER NOTIFIED AM PM | OFFICER ARRIVED AM PM | TOTAL VEHICLES | TOTAL INJURED | TOTAL FATALS | ACCIDENT REPORT NUMBER

029400017

COUNTY | Feet or Miles N S E W ☐☐☐☐ Of | CITY OR TOWN (Check if in City or Town) ☐

ON STREET, ROAD OR HIGHWAY | At or Feet or Miles N S E W ☐☐☐☐ | INTERSECTION OF | Local Accident Report Number

At or Feet or Miles | From NODE NUMBER | NEXT NODE No. on ROADWAY | No. of Lanes 1☐ DIVIDED 2☐ UNDIVIDED | ENGINEERING STUDY NEEDED 1☐ Yes 2☐ No If yes, Explain in Narrative

ROAD SURFACE TYPE ☐
1 Concrete
2 Blacktop
3 Brick/Block
4 Slag/Gravel/Stone
5 Dirt
6 Other ....

TRAFFICWAY CHARACTER ☐
1 Straight/Level
2 Straight/Upgrade/Downgrade
3 Curve/Level
4 Curve Up/Downgrade

LIGHTING CONDITION ☐
1 Daylight
2 Dusk/Dawn
3 Dark (Street Light)
4 Dark (Not Lighted)

ROAD SYSTEM IDENTIFIER ☐
1 Interstate
2 U S
3 State
4 County
5 Local
6 Turnpike
7 Other Full Control
8 Other Major Arterial
9 Other (Explain) ....

SITE LOCATION ☐
01 Not At Intersection/RR X'ing/Bridge
02 At Intersection
03 Influenced By Intersection
04 Driveway Access
05 Railroad Crossing
06 Bridge
07 Entrance Ramp
08 Exit Ramp
09 Parking Lot/Trafficway
10 Parking Lot Aisle or Stall
11 Private Property

VEHICLE 1

YEAR | MAKE | TYPE | VEH. LICENSE NUMBER | STATE | Reg. CODE | YEAR | VEHICLE IDENTIFICATION NUMBER

CIRCLE AREA OF VEHICLE DAMAGE 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16. Undercarriage 17. Overturn 18. Totaled

VEHICLE TRAVELING ON N S E W ☐☐☐☐ At | Est. MPH | Posted Speed | VEHICLE DAMAGE $ | 1. Disabling 2 Functional 3 None 4 Other ☐

INSURANCE CO. (LIABILITY OR PIP) | POLICY NUMBER | COMPANY NO. | 1☐ Owner 2☐ Driver | VEHICLE REMOVED BY: | 1 Tow Rotation List 2 Tow Owner's Request 3 Driver 4 Other ☐

OWNER'S FULL NAME (Check if Driver ☐) | ADDRESS (Number and Street) | CITY AND STATE | ZIP CODE

DRIVER (Exactly as on Driver's License) | ADDRESS (Number and Street) | CITY AND STATE | ZIP | DATE OF BIRTH

DRIVER'S LICENSE NUMBER | STATE | LIC. TYPE | BAC TEST 1 Blood 3 Other 2 Breath 4 None ☐ | RESULTS % | RES. | PHYS/DEF. | AL/DRUG | LOC. | RACE | SEX | CLASS | INJ. | S. EQUIP. | EJECT.

OCCUPANT'S NAME | ADDRESS | CITY & STATE/ZIP CODE | AGE

OCCUPANT'S NAME | ADDRESS | CITY & STATE/ZIP CODE

VEHICLE ___/Pedestrian ___/Pedalcyclist ___

YEAR | MAKE | TYPE | VEH. LICENSE NUMBER | STATE | Reg. CODE | YEAR | VEHICLE IDENTIFICATION NUMBER

CIRCLE AREA OF VEHICLE DAMAGE 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16. Undercarriage 17. Overturn 18. Totaled

VEHICLE TRAVELING ON N S E W ☐☐☐☐ At | Est. MPH | Posted Speed | VEHICLE DAMAGE $ | 1. Disabling 2 Functional 3 None 4 Other ☐

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DRIVER (Exactly as on Driver's License) | ADDRESS (Number and Street) | CITY AND STATE | ZIP | DATE OF BIRTH

DRIVER'S LICENSE NUMBER | STATE | LIC. TYPE | BAC TEST 1 Blood 3 Other 2 Breath 4 None ☐ | RESULTS % | RES. | PHYS/DEF. | AL/DRUG | LOC. | RACE | SEX | CLASS | INJ. | S. EQUIP. | EJECT.

OCCUPANT'S NAME | ADDRESS | CITY & STATE/ZIP CODE | AGE

OCCUPANT'S NAME | ADDRESS | CITY & STATE/ZIP CODE

CODE INFORMATION

VEHICLE TYPE
01 Passenger Vehicle
02 Law Enforcement Veh.
03 Fire Vehicle
04 Truck (Light)
05 Truck (Heavy)
06 Truck Tractor
07 School Bus
08 City Transit Bus
09 Commercial Bus
10 Other Type Bus
11 Special Mobile Equipment
12 Taxicab
13 Ambulance/Rescue Unit
14 Motorcycle
15 Moped
16 Pedalcycle
17 Farm Equipment
18 Government/Military
19 Other..........

REGISTRATION
1 None
2 Florida
3 Other

LICENSE TYPE
1 Operator
2 Chauffeur
3 Restricted Oper.

RACE
1 White
2 Black
3 Other

SEX
1 Male
2 Female

RESIDENCE (DRIVER ONLY)
1 County of Accident
2 Elsewhere in State
3 Non-Resident State
4 Unknown

PERSON CLASS
1 Driver
2 Driver/Owner
3 Passenger
4 Pedestrian
5 Pedalcyclist
6 Other ....

PHYSICAL DEFECTS (DRIVER ONLY)
1 No Defects Known
2 Eyesight Defect
3 Sick
4 Fatigue/Asleep
5 Hearing Defect
6 Seizure, Epilepsy, Blackout
7 Other Physical Defect

INJURY SEVERITY
1 No Injury
2 Fatal (In 90 Days) Injury
3 Incapacitating Injury
4 Non-Incapacitating Injury
5 Possible Injury
6 Non-Traffic Fatality

ALCOHOL/DRUG USE
1 Not Drinking or Using Drugs
2 Had been Drinking/Under Influence
3 Drugs/Under Influence
4 Alcohol/Drugs/Under Influence
5 Had Been Drinking

SAFETY EQUIPMENT IN USE
1 Not Installed
2 Installed/Not in Use
3 Seat Belt/Shoulder Harness
4 Safety Helmet/Eye Protection
5 Air Bag
6 Child Restraint
7 Other..........

LOCATION (IN VEHICLE)
1 Front Left
2 Front Center
3 Front Right
4 Rear Left
5 Rear Center
6 Rear Right
7 In Body of Truck
8 Bus Passenger
9 Other

EJECTED
1 No
2 Yes
3 Partial

FIRST AID GIVEN BY — NAME: | ☐ 1 Dr. or Nurse ☐ 2 Certified First Aid ☐ 3 Certified First Aid (Police) ☐ 4 Other - Explain | EMS NOTIFIED AM PM | EMS ARRIVED AM PM | INJURED TAKEN TO: | BY — NAME:

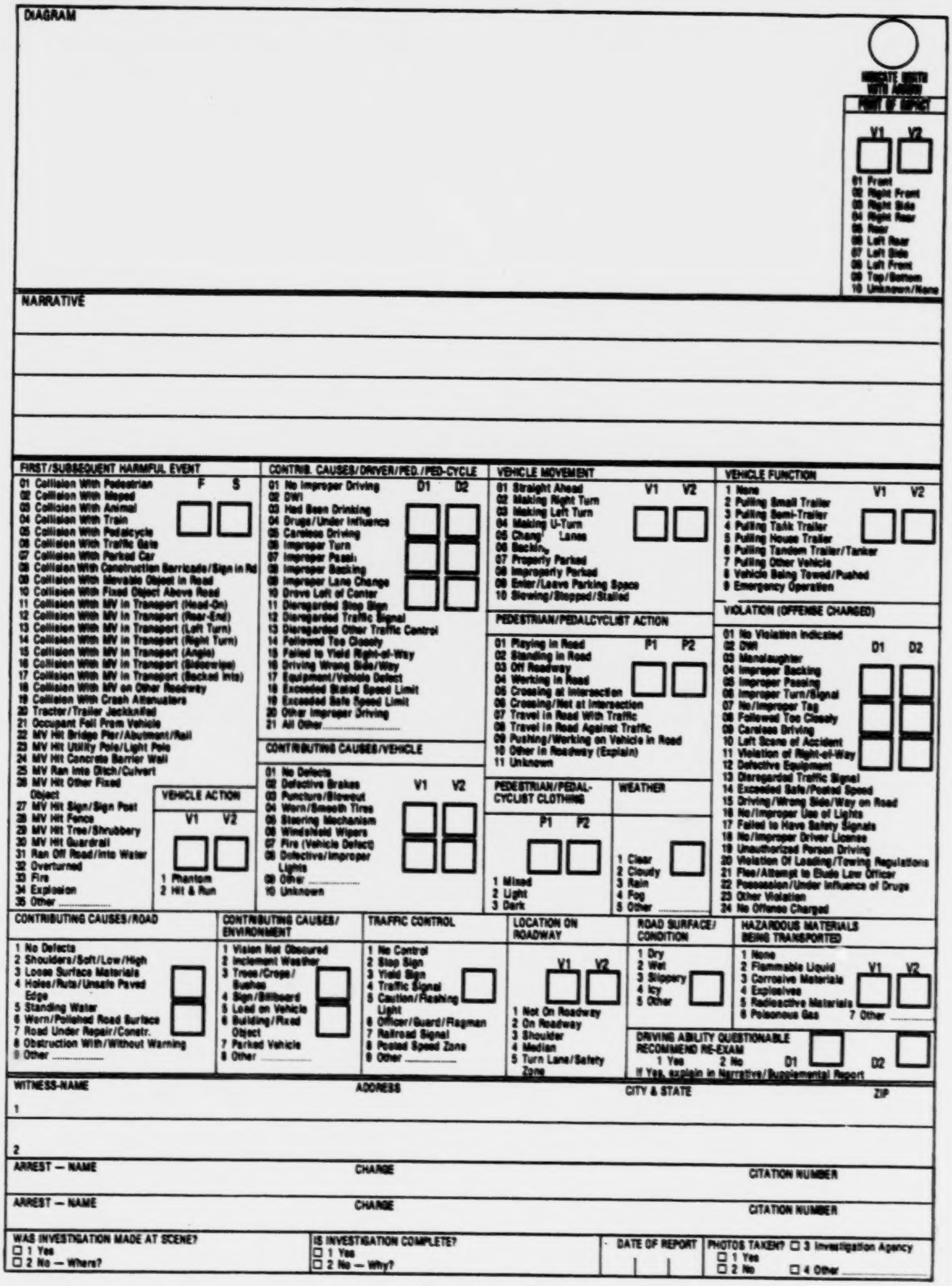
PROPERTY DAMAGED — OTHER THAN VEHICLES | AMOUNT $ | OWNER'S NAME | ADDRESS | ZIP

INVESTIGATOR — NAME AND RANK | BADGE NUMBER | ID NUMBER | DEPARTMENT | 1☐ FHP 3☐ CPD 2☐ SO 4☐ OTHER

FHP 3 (Rev. 1/83)

Page 1 of ______ Pages

Figure D-3-2
Florida Traffic Accident Report



DIAGRAM

INDICATE NORTH WITH ARROW

POINT OF IMPACT

V1	V2
☐	☐

01 Front
02 Right Front
03 Right Side
04 Right Rear
05 Rear
06 Left Rear
07 Left Side
08 Left Front
09 Top/Bottom
10 Unknown/None

NARRATIVE

FIRST/SUBSEQUENT HARMFUL EVENT F ☐ S ☐

01 Collision With Pedestrian
02 Collision With Moped
03 Collision With Animal
04 Collision With Train
05 Collision With Pedalcycle
06 Collision With Traffic Gate
07 Collision With Parked Car
08 Collision With Construction Barricade/Sign in Rd
09 Collision With Movable Object in Road
10 Collision With Fixed Object Above Road
11 Collision With MV in Transport (Head-On)
12 Collision With MV in Transport (Rear-End)
13 Collision With MV in Transport (Left Turn)
14 Collision With MV in Transport (Right Turn)
15 Collision With MV in Transport (Angle)
16 Collision With MV in Transport (Sideswipe)
17 Collision With MV in Transport (Backed Into)
18 Collision With MV on Other Roadway
19 Collision With Crash Attenuators
20 Tractor/Trailer Jackknifed
21 Occupant Fell From Vehicle
22 MV Hit Bridge Pier/Abutment/Rail
23 MV Hit Utility Pole/Light Pole
24 MV Hit Concrete Barrier Wall
25 MV Ran Into Ditch/Culvert
26 MV Hit Other Fixed Object
27 MV Hit Sign/Sign Post
28 MV Hit Fence
29 MV Hit Tree/Shrubbery
30 MV Hit Guardrail
31 Ran Off Road/Into Water
32 Overturned
33 Fire
34 Explosion
35 Other ....

VEHICLE ACTION V1 ☐ V2 ☐

1 Phantom
2 Hit & Run

CONTRIB. CAUSES/DRIVER/PED./PED-CYCLE D1 ☐☐☐ D2 ☐☐☐

01 No Improper Driving
02 DWI
03 Had Been Drinking
04 Drugs/Under Influence
05 Careless Driving
06 Improper Turn
07 Improper Passing
08 Improper Backing
09 Improper Lane Change
10 Drove Left of Center
11 Disregarded Stop Sign
12 Disregarded Traffic Signal
13 Disregarded Other Traffic Control
14 Followed Too Closely
15 Failed to Yield Right-of-Way
16 Driving Wrong Side/Way
17 Equipment/Vehicle Defect
18 Exceeded Stated Speed Limit
19 Exceeded Safe Speed Limit
20 Other Improper Driving
21 All Other ....

CONTRIBUTING CAUSES/VEHICLE V1 ☐☐ V2 ☐☐

01 No Defects
02 Defective Brakes
03 Puncture/Blowout
04 Worn/Smooth Tires
05 Steering Mechanism
06 Windshield Wipers
07 Fire (Vehicle Defect)
08 Defective/Improper Lights
09 Other ....
10 Unknown

VEHICLE MOVEMENT V1 ☐ V2 ☐

01 Straight Ahead
02 Making Right Turn
03 Making Left Turn
04 Making U-Turn
05 Changing Lanes
06 Backing
07 Properly Parked
08 Improperly Parked
09 Enter/Leave Parking Space
10 Slowing/Stopped/Stalled

PEDESTRIAN/PEDALCYCLIST ACTION P1 ☐ P2 ☐

01 Playing in Road
02 Standing in Road
03 Off Roadway
04 Working in Road
05 Crossing at Intersection
06 Crossing/Not at Intersection
07 Travel in Road With Traffic
08 Travel in Road Against Traffic
09 Pushing/Working on Vehicle in Road
10 Other in Roadway (Explain)
11 Unknown

PEDESTRIAN/PEDAL-CYCLIST CLOTHING P1 ☐ P2 ☐

1 Mixed
2 Light
3 Dark

WEATHER ☐

1 Clear
2 Cloudy
3 Rain
4 Fog
5 Other ....

VEHICLE FUNCTION V1 ☐ V2 ☐

1 None
2 Pulling Small Trailer
3 Pulling Semi-Trailer
4 Pulling Tank Trailer
5 Pulling House Trailer
6 Pulling Tandem Trailer/Tanker
7 Pulling Other Vehicle
8 Vehicle Being Towed/Pushed
9 Emergency Operation

VIOLATION (OFFENSE CHARGED) D1 ☐☐☐ D2 ☐☐☐

01 No Violation Indicated
02 DWI
03 Manslaughter
04 Improper Backing
05 Improper Passing
06 Improper Turn/Signal
07 No/Improper Tag
08 Followed Too Closely
09 Careless Driving
10 Left Scene of Accident
11 Violation of Right-of-Way
12 Defective Equipment
13 Disregarded Traffic Signal
14 Exceeded Safe/Posted Speed
15 Driving/Wrong Side/Way on Road
16 No/Improper Use of Lights
17 Failed to Have Safety Signals
18 No/Improper Driver License
19 Unauthorized Person Driving
20 Violation Of Loading/Towing Regulations
21 Flee/Attempt to Elude Law Officer
22 Possession/Under Influence of Drugs
23 Other Violation
24 No Offense Charged

CONTRIBUTING CAUSES/ROAD ☐☐

1 No Defects
2 Shoulders/Soft/Low/High
3 Loose Surface Materials
4 Holes/Ruts/Unsafe Paved Edge
5 Standing Water
6 Worn/Polished Road Surface
7 Road Under Repair/Constr.
8 Obstruction With/Without Warning
9 Other ....

CONTRIBUTING CAUSES/ENVIRONMENT ☐☐

1 Vision Not Obscured
2 Inclement Weather
3 Trees/Crops/Bushes
4 Sign/Billboard
5 Load on Vehicle
6 Building/Fixed Object
7 Parked Vehicle
8 Other ....

TRAFFIC CONTROL ☐

1 No Control
2 Stop Sign
3 Yield Sign
4 Traffic Signal
5 Caution/Flashing Light
6 Officer/Guard/Flagman
7 Railroad Signal
8 Posted Speed Zone
9 Other ....

LOCATION ON ROADWAY V1 ☐ V2 ☐

1 Not On Roadway
2 On Roadway
3 Shoulder
4 Median
5 Turn Lane/Safety Zone

ROAD SURFACE/CONDITION ☐

1 Dry
2 Wet
3 Slippery
4 Icy
5 Other

HAZARDOUS MATERIALS BEING TRANSPORTED V1 ☐ V2 ☐

1 None
2 Flammable Liquid
3 Corrosive Materials
4 Explosives
5 Radioactive Materials
6 Poisonous Gas
7 Other ....

DRIVING ABILITY QUESTIONABLE RECOMMEND RE-EXAM
1 Yes 2 No D1 ☐ D2 ☐
If Yes, explain in Narrative/Supplemental Report

WITNESS-NAME	ADDRESS	CITY & STATE	ZIP
1			
2			

ARREST — NAME	CHARGE	CITATION NUMBER
ARREST — NAME	CHARGE	CITATION NUMBER

WAS INVESTIGATION MADE AT SCENE?
☐ 1 Yes
☐ 2 No — Where?

IS INVESTIGATION COMPLETE?
☐ 1 Yes
☐ 2 No — Why?

DATE OF REPORT

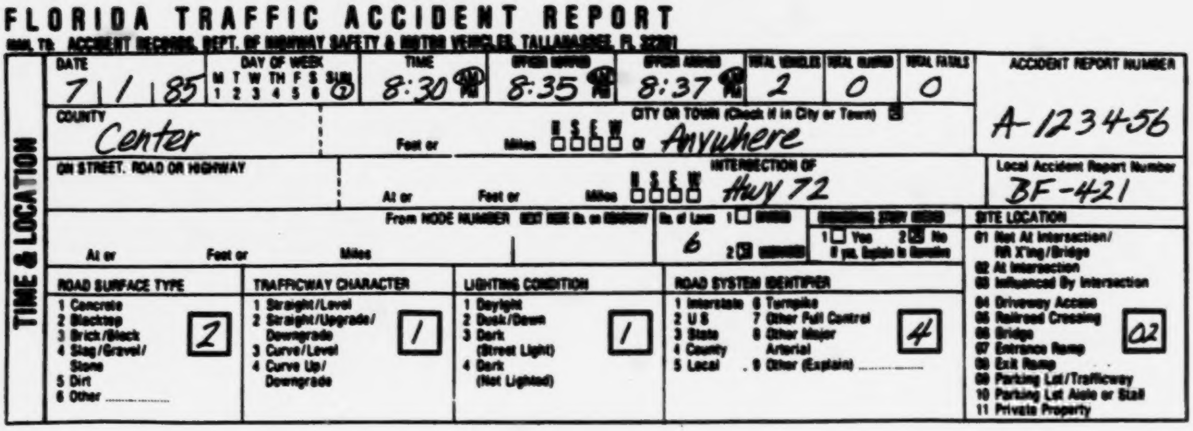
PHOTOS TAKEN?
☐ 1 Yes
☐ 2 No
☐ 3 Investigation Agency
☐ 4 Other ....

Page 2 of ______ Pages

Figure D-3-2
(continued)

The following are guidelines for completing the traffic accident report. **The report is not necessarily filled out in the order given below, but rather in the order in which the information is collected.**

1. Fill in the date/day of week/times and totals.
2. Enter the county and city/town/community.
3. Enter the accident report number issued by your agency.
4. Enter the specific location information.



FLORIDA TRAFFIC ACCIDENT REPORT

TIME & LOCATION

DATE 7 / 1 / 85
DAY OF WEEK M 1 T 2 W 3 TH 4 F 5 S 6 SUN [✓ 7]
TIME 8:30
[illegible] 8:35
[illegible] 8:37
[illegible] 2
[illegible] 0
[illegible] 0
ACCIDENT REPORT NUMBER A-123456

COUNTY Center
Feet or Miles N ☐ S ☐ E ☐ W ☐ of
CITY OR TOWN (Check if in City or Town) ☒ Anywhere

ON STREET, ROAD OR HIGHWAY
At or Feet or Miles N ☐ S ☐ E ☐ W ☐
INTERSECTION OF Hwy 72
Local Accident Report Number BF-421

At or Feet or Miles
From NODE NUMBER [illegible]
No. of Lanes 6
1 ☐ [illegible]
2 ☒ [illegible]
[illegible]
1 ☐ Yes 2 ☒ No
If yes, Explain in Narrative

ROAD SURFACE TYPE
1 Concrete
2 Blacktop
3 Brick/Block
4 Slag/Gravel/Stone
5 Dirt
6 Other ....
$\boxed{2}$

TRAFFICWAY CHARACTER
1 Straight/Level
2 Straight/Upgrade/Downgrade
3 Curve/Level
4 Curve Up/Downgrade
$\boxed{1}$

LIGHTING CONDITION
1 Daylight
2 Dusk/Dawn
3 Dark (Street Light)
4 Dark (Not Lighted)
$\boxed{1}$

ROAD SYSTEM IDENTIFIER
1 Interstate
2 U S
3 State
4 County
5 Local
6 Turnpike
7 Other Full Control
8 Other Major Arterial
9 Other (Explain) ....
$\boxed{4}$

SITE LOCATION
01 Not At Intersection/RR X'ing/Bridge
02 At Intersection
03 Influenced By Intersection
04 Driveway Access
05 Railroad Crossing
06 Bridge
07 Entrance Ramp
08 Exit Ramp
09 Parking Lot/Trafficway
10 Parking Lot Aisle or Stall
11 Private Property
$\boxed{02}$

Figure D-3-3
Time and Location

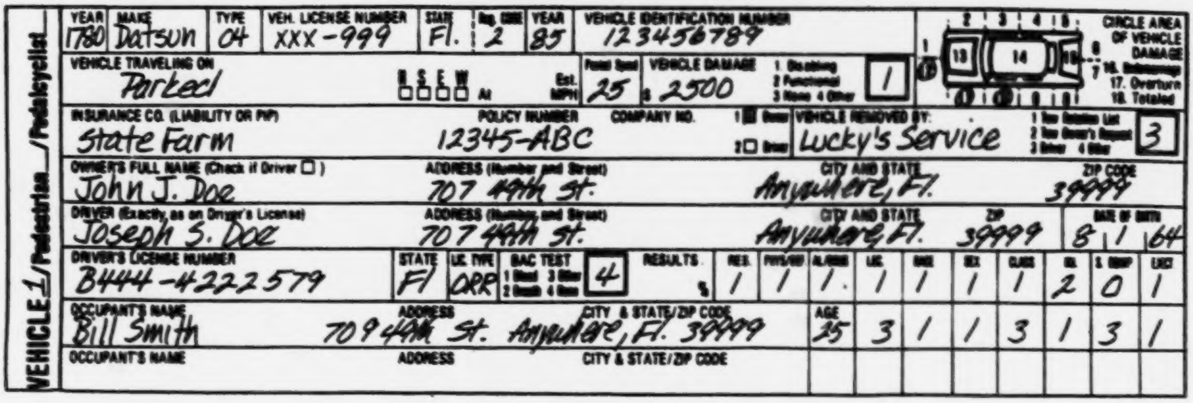
5. Assign a number to a vehicle and enter that number in the far left-hand column, if the accident involves more than one vehicle.
6. Enter year/make/license number/state/year/ID number of the vehicle.
7. Refer to the code information section and enter the type and registration of the vehicle.
8. Enter estimate of vehicle damage, type and area of damage.
9. Enter movement/direction/speed of vehicle and posted speed.
10. Enter vehicle removal information.
11. Enter insurance information.
12. Enter owner's name and address.
13. Enter driver's name and address, if different from owner.

14. Enter driver's date of birth/license number and state/blood alcohol test code and results.

15. Refer to the code information section and enter codes for the driver's license type/residence/physical defects/alcohol-drug use/location in vehicle/race/sex/person class/injury severity/safety equipment in use/whether ejected.

16. Enter name, address, and age for each nondriver occupant.

17. Enter information for each occupant concerning his/her location in vehicle/race/sex/person class/injury/safety equipment in use/whether ejected, using the codes provided in the code information section.


VEHICLE 1 /Pedestrian__/Pedalcyclist__

YEAR: 1780 | MAKE: Datsun | TYPE: 04 | VEH. LICENSE NUMBER: XXX-999 | STATE: Fl. | Reg. Code: 2 | YEAR: 85 | VEHICLE IDENTIFICATION NUMBER: 123456789

VEHICLE TRAVELING ON: Parked | N ☐ S ☐ E ☐ W ☐ At | Est. MPH | Posted Speed: 25 | VEHICLE DAMAGE $ 2500 | 1 Disabling 2 Functional 3 None 4 Other: 1

2
3
4
5
1
13
14
6
7
8
CIRCLE AREA OF VEHICLE DAMAGE
16. Undercarriage
17. Overturn
18. Totaled

INSURANCE CO. (LIABILITY OR PIP): State Farm | POLICY NUMBER: 12345-ABC | COMPANY NO. | 1 ■ Owner 2 ☐ Driver | VEHICLE REMOVED BY: Lucky's Service | 1 Tow Rotation List 2 Tow Owner's Request 3 Driver 4 Other: 3

OWNER'S FULL NAME (Check if Driver ☐): John J. Doe | ADDRESS (Number and Street): 707 49th St. | CITY AND STATE: Anywhere, Fl. | ZIP CODE: 39999

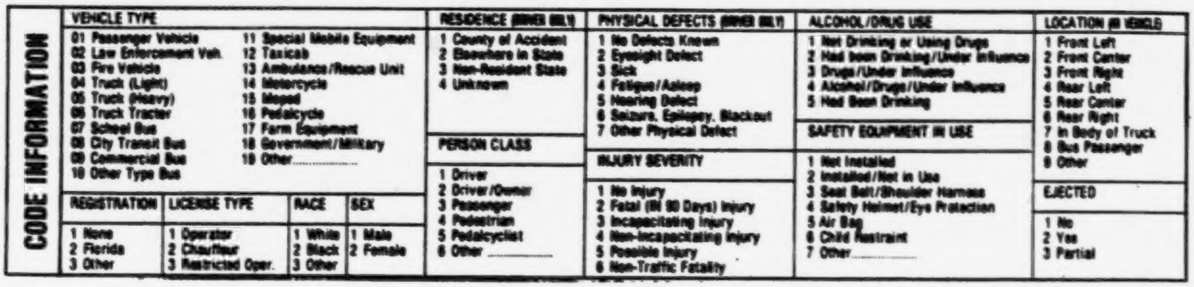
DRIVER (Exactly as on Driver's License): Joseph S. Doe | ADDRESS (Number and Street): 707 49th St. | CITY AND STATE: Anywhere, Fl. | ZIP: 39999 | DATE OF BIRTH: 8 / 1 / 64

DRIVER'S LICENSE NUMBER: B444-4222579 | STATE: Fl | LIC. TYPE: ORR | BAC TEST 1 Blood 2 Breath 3 Other 4 None: 4 | RESULTS %

RES.	PHYS/DEF	AL/DRUG	LIC.	RACE	SEX	CLASS	INJ.	S. EQUIP	LOC.
1	1	1	1	1	1	1	2	0	1

OCCUPANT'S NAME	ADDRESS	CITY & STATE/ZIP CODE	AGE							
Bill Smith	709 49th St.	Anywhere, Fl. 39999	35	3	1	1	3	1	3	1

Figure D-3-4
Vehicle 1


CODE INFORMATION

VEHICLE TYPE
01 Passenger Vehicle
02 Law Enforcement Veh.
03 Fire Vehicle
04 Truck (Light)
05 Truck (Heavy)
06 Truck Tractor
07 School Bus
08 City Transit Bus
09 Commercial Bus
10 Other Type Bus
11 Special Mobile Equipment
12 Taxicab
13 Ambulance/Rescue Unit
14 Motorcycle
15 Moped
16 Pedalcycle
17 Farm Equipment
18 Government/Military
19 Other______

REGISTRATION
1 None
2 Florida
3 Other

LICENSE TYPE
1 Operator
2 Chauffeur
3 Restricted Oper.

RACE
1 White
2 Black
3 Other

SEX
1 Male
2 Female

RESIDENCE (DRIVER ONLY)
1 County of Accident
2 Elsewhere in State
3 Non-Resident State
4 Unknown

PERSON CLASS
1 Driver
2 Driver/Owner
3 Passenger
4 Pedestrian
5 Pedalcyclist
6 Other______

PHYSICAL DEFECTS (DRIVER ONLY)
1 No Defects Known
2 Eyesight Defect
3 Sick
4 Fatigue/Asleep
5 Hearing Defect
6 Seizure, Epilepsy, Blackout
7 Other Physical Defect

INJURY SEVERITY
1 No Injury
2 Fatal (IN 90 Days) Injury
3 Incapacitating Injury
4 Non-Incapacitating Injury
5 Possible Injury
6 Non-Traffic Fatality

ALCOHOL/DRUG USE
1 Not Drinking or Using Drugs
2 Had been Drinking/Under Influence
3 Drugs/Under Influence
4 Alcohol/Drugs/Under Influence
5 Had Been Drinking

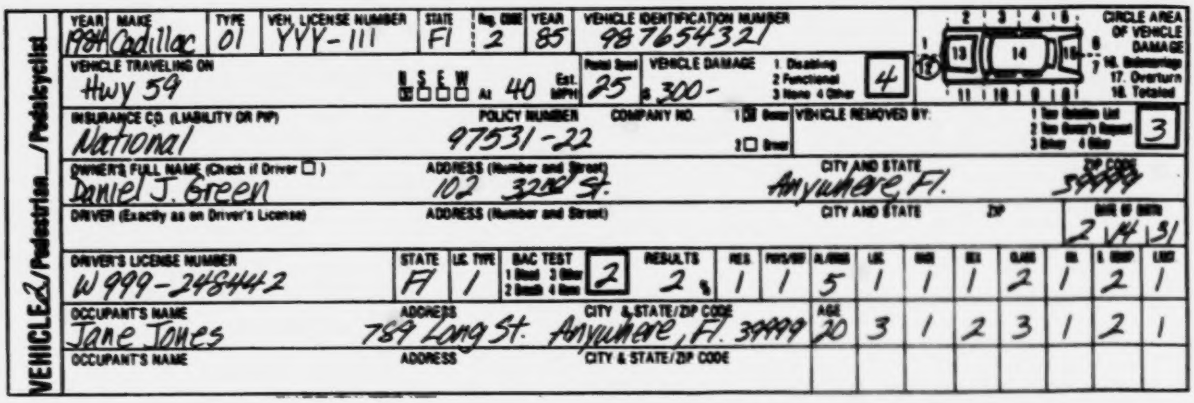
SAFETY EQUIPMENT IN USE
1 Not Installed
2 Installed/Not in Use
3 Seat Belt/Shoulder Harness
4 Safety Helmet/Eye Protection
5 Air Bag
6 Child Restraint
7 Other______

LOCATION (IN VEHICLE)
1 Front Left
2 Front Center
3 Front Right
4 Rear Left
5 Rear Center
6 Rear Right
7 In Body of Truck
8 Bus Passenger
9 Other

EJECTED
1 No
2 Yes
3 Partial

Figure D-3-5
Code Information

18. Repeat steps 5-17 for each vehicle involved in the accident.



VEHICLE 2 / Pedestrian __ / Pedalcyclist __

YEAR: 1984 MAKE: Cadillac TYPE: 01 VEH. LICENSE NUMBER: YYY-111 STATE: Fl 2 YEAR: 85 VEHICLE IDENTIFICATION NUMBER: 987654321

VEHICLE TRAVELING ON: Hwy 59 N ☒ S ☐ E ☐ W ☐ At 40 Est. MPH 25 VEHICLE DAMAGE $ 300- 1 Disabling 2 Functional 3 None 4 Other: 4

CIRCLE AREA OF VEHICLE DAMAGE: 12 — 17. Overturn 18. Totaled

INSURANCE CO. (LIABILITY OR PIP): National POLICY NUMBER: 97531-22 COMPANY NO. 1 ☒ 2 ☐ VEHICLE REMOVED BY: 3

OWNER'S FULL NAME (Check if Driver ☐): Daniel J. Green ADDRESS (Number and Street): 102 32nd St. CITY AND STATE: Anywhere, Fl. ZIP CODE: 39999

DRIVER (Exactly as on Driver's License) ADDRESS (Number and Street) CITY AND STATE ZIP: 2 14 31

DRIVER'S LICENSE NUMBER: W999-248442 STATE: Fl LIC. TYPE: 1 BAC TEST: 2 RESULTS: 2 % 1 1 5 1 1 1 2 1 2 1

OCCUPANT'S NAME: Jane Jones ADDRESS: 789 Long St. CITY & STATE/ZIP CODE: Anywhere, Fl. 39999 AGE: 20 3 1 2 3 1 2 1

OCCUPANT'S NAME ADDRESS CITY & STATE/ZIP CODE

Figure D-3-6
Vehicle 2

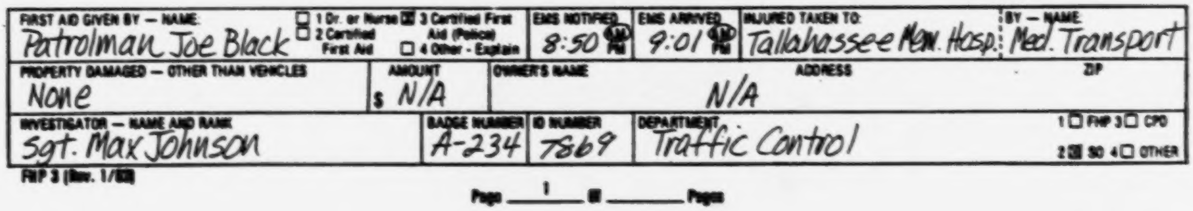
19. Enter name and qualification of person giving any first aid.

20. Enter name of emergency medical service and time notified and arrived.

21. Enter medical facility injured was taken to.

22. Enter amount of property damage (other than vehicle), owner's name and address.

23. Enter investigating officer's name and rank, badge and ID number, department and organization.



FIRST AID GIVEN BY — NAME: Patrolman Joe Black ☐ 1 Dr. or Nurse ☐ 2 Certified First Aid ☒ 3 Certified First Aid (Police) ☐ 4 Other - Explain EMS NOTIFIED: 8:50 AM EMS ARRIVED: 9:01 AM INJURED TAKEN TO: Tallahassee Mem. Hosp. BY — NAME: Med. Transport

PROPERTY DAMAGED — OTHER THAN VEHICLES: None AMOUNT: $ N/A OWNER'S NAME ADDRESS ZIP: N/A

INVESTIGATOR — NAME AND RANK: Sgt. Max Johnson BADGE NUMBER: A-234 ID NUMBER: 7869 DEPARTMENT: Traffic Control 1 ☐ FHP 3 ☐ CPD 2 ☒ SO 4 ☐ OTHER

FHP 3 (Rev. 1/83)

Page 1 of ____ Pages

Figure D-3-7
Medical Aid and Investigator Information

At the top of page 2 of the accident report, a diagram of the accident site is drawn and a brief narrative of what occurred is written to record the accident in sketch and words. The symbols which are used to represent the physical attributes of the scene are shown in Figure D-3-8 on the following page.

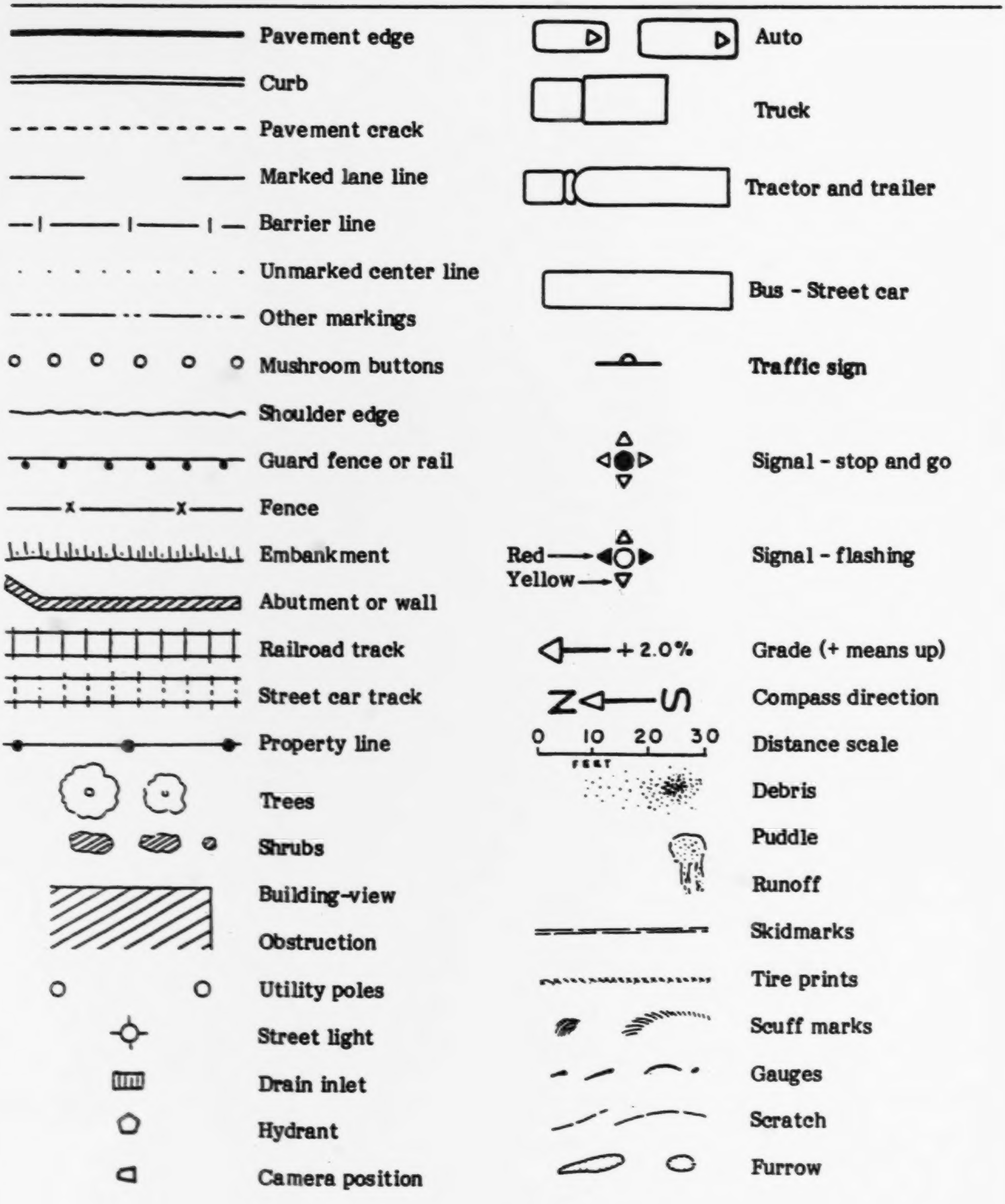
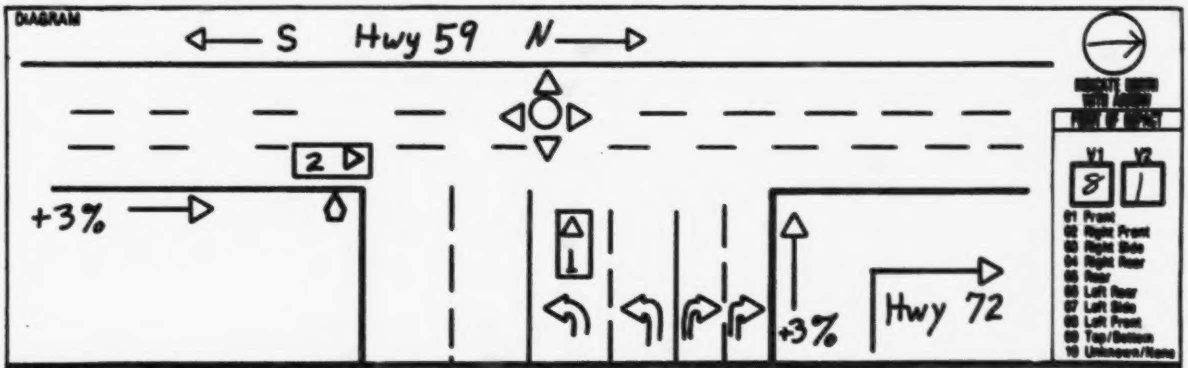

Pavement edge
Curb
Pavement crack
Marked lane line
Barrier line
Unmarked center line
Other markings
Mushroom buttons
Shoulder edge
Guard fence or rail
Fence
Embankment
Abutment or wall
Railroad track
Street car track
Property line
Trees
Shrubs
Building-view
Obstruction
Utility poles
Street light
Drain inlet
Hydrant
Camera position
Auto
Truck
Tractor and trailer
Bus - Street car
Traffic sign
Signal - stop and go
Red
Yellow
Signal - flashing
+ 2.0%
Grade (+ means up)
Z
S
Compass direction
0
10
20
30
FEET
Distance scale
Debris
Puddle
Runoff
Skidmarks
Tire prints
Scuff marks
Gauges
Scratch
Furrow

Figure D-3-8
Symbols Used in Accident Scene Sketches

From Traffic Accident Investigator's Manual for Police. © 1969, by Traffic Institute: Northwestern University, Evanston, Ill. Used with permission.

24. **Draw a sketch of the accident scene, indicate north with an arrow, and enter the point of impact for each vehicle.**

25. **Write a narrative or description of the accident giving a brief but accurate account of what occurred.**



NARRATIVE

Unit 1 parked, waiting traffic light change before turning left onto Hwy 59 south. Unit 2 going North on Hwy 59, attempted a right turn onto Hwy 72 South. Driver of Unit 2 had been out all night at party, had been drinking and was distracted by occupant of Unit 2. Unit was traveling too fast, decided to turn too late, attempted to make turn and swing too wide, striking Unit 1. Both units in good mechanical condition. Weather clear, road dry, vision unobstructed.

Figure D-3-9
Diagram and Narrative of Accident Report

In general, the narrative portion of a traffic accident report coupled with the diagram should give a clear picture of **what** happened in a traffic accident, **how** it happened, and **why** it happened. As a minimum, the "describe what happened" portion of the report should show:

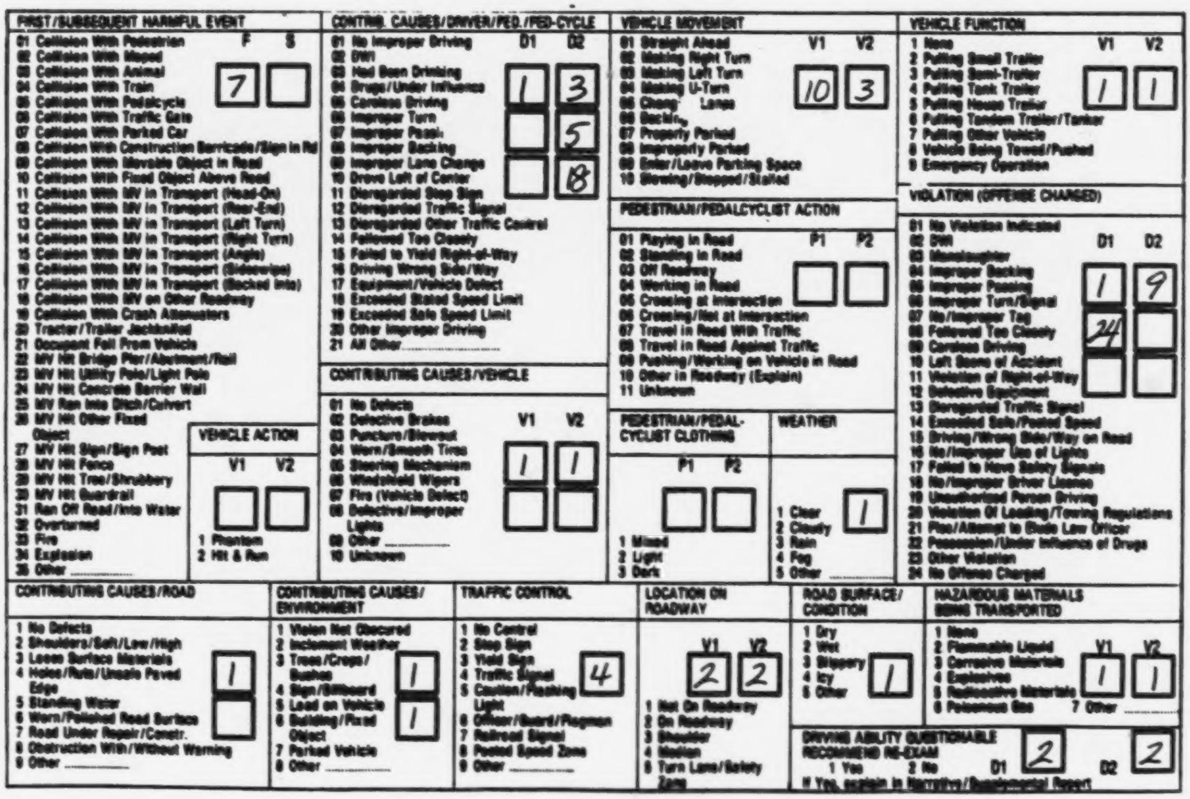
- the direction of travel for each traffic unit involved, identifying each unit by the same number used for that unit on the front of the report (identification of the highway is optional)
- the defective driving strategy of each unit, if any, that contributed to the accident (operational factors)
- the evasive action, if any, of each traffic unit, identifying any **faulty** evasive action which was a factor in the accident (an operational factor)
- the phase, or phases (recognition, decision, and/or performance), in which operations failed, covering each operational factor reported
- the condition(s) of (1) the road and environment, (2) the vehicle, and (3) the driver(s) and/or pedestrian(s) that produce the defective driving strategy and/or faulty evasive action (conditional factors)
- the reason for failing to give a conclusion identifying a condition factor or factors

- the crucial event for each traffic unit
- the point of initial contact (general statement only, which may be omitted when point is obvious because of the nature of the accident)
- the points struck on vehicles or objects (only when pertinent)
- an indication of the maximum engagement (only when pertinent)
- the movement and route of each traffic unit to the final position (may be omitted when not pertinent).

The narrative must be concise and complete. All factors found must be shown in the narrative regardless of whether or not they have been shown in another place on the report.

The next section of the traffic accident report requires the selection of facts and information from coded lists.

26. Select and enter the code for each category of information as applicable.



FIRST/SUBSEQUENT HARMFUL EVENT
F S
7
01 Collision With Pedestrian
02 Collision With Moped
03 Collision With Animal
04 Collision With Train
05 Collision With Pedalcycle
06 Collision With Traffic Gate
07 Collision With Parked Car
08 Collision With Construction Barricade/Sign in Rd
09 Collision With Movable Object in Road
10 Collision With Fixed Object Above Road
11 Collision With MV in Transport (Head-On)
12 Collision With MV in Transport (Rear-End)
13 Collision With MV in Transport (Left Turn)
14 Collision With MV in Transport (Right Turn)
15 Collision With MV in Transport (Angle)
16 Collision With MV in Transport (Sideswipe)
17 Collision With MV in Transport (Backed Into)
18 Collision With MV on Other Roadway
19 Collision With Crash Attenuators
20 Tractor/Trailer Jackknifed
21 Occupant Fell From Vehicle
22 MV Hit Bridge Pier/Abutment/Rail
23 MV Hit Utility Pole/Light Pole
24 MV Hit Concrete Barrier Wall
25 MV Ran Into Ditch/Culvert
26 MV Hit Other Fixed Object
27 MV Hit Sign/Sign Post
28 MV Hit Fence
29 MV Hit Tree/Shrubbery
30 MV Hit Guardrail
31 Ran Off Road/Into Water
32 Overturned
33 Fire
34 Explosion
35 Other ________

VEHICLE ACTION
V1 V2
1 Phantom
2 Hit & Run

CONTRIB. CAUSES/DRIVER/PED./PED-CYCLE
D1 D2
1 3
5
8
01 No Improper Driving
02 DWI
03 Had Been Drinking
04 Drugs/Under Influence
05 Careless Driving
06 Improper Turn
07 Improper Pass.
08 Improper Backing
09 Improper Lane Change
10 Drove Left of Center
11 Disregarded Stop Sign
12 Disregarded Traffic Signal
13 Disregarded Other Traffic Control
14 Followed Too Closely
15 Failed to Yield Right-of-Way
16 Driving Wrong Side/Way
17 Equipment/Vehicle Defect
18 Exceeded Stated Speed Limit
19 Exceeded Safe Speed Limit
20 Other Improper Driving
21 All Other ________

CONTRIBUTING CAUSES/VEHICLE
V1 V2
1 1
01 No Defects
02 Defective Brakes
03 Puncture/Blowout
04 Worn/Smooth Tires
05 Steering Mechanism
06 Windshield Wipers
07 Fire (Vehicle Defect)
08 Defective/Improper Lights
09 Other ________
10 Unknown

VEHICLE MOVEMENT
V1 V2
10 3
01 Straight Ahead
02 Making Right Turn
03 Making Left Turn
04 Making U-Turn
05 Chang Lanes
06 Backing
07 Properly Parked
08 Improperly Parked
09 Enter/Leave Parking Space
10 Slowing/Stopped/Stalled

PEDESTRIAN/PEDALCYCLIST ACTION
P1 P2
01 Playing in Road
02 Standing in Road
03 Off Roadway
04 Working in Road
05 Crossing at Intersection
06 Crossing/Not at Intersection
07 Travel in Road With Traffic
08 Travel in Road Against Traffic
09 Pushing/Working on Vehicle in Road
10 Other in Roadway (Explain)
11 Unknown

PEDESTRIAN/PEDAL-CYCLIST CLOTHING
P1 P2
1 Mixed
2 Light
3 Dark

WEATHER
1
1 Clear
2 Cloudy
3 Rain
4 Fog
5 Other ________

VEHICLE FUNCTION
V1 V2
1 1
1 None
2 Pulling Small Trailer
3 Pulling Semi-Trailer
4 Pulling Tank Trailer
5 Pulling House Trailer
6 Pulling Tandem Trailer/Tanker
7 Pulling Other Vehicle
8 Vehicle Being Towed/Pushed
9 Emergency Operation

VIOLATION (OFFENSE CHARGED)
D1 D2
1 9
24
01 No Violation Indicated
02 DWI
03 Manslaughter
04 Improper Backing
05 Improper Passing
06 Improper Turn/Signal
07 No/Improper Tag
08 Followed Too Closely
09 Careless Driving
10 Left Scene of Accident
11 Violation of Right-of-Way
12 Defective Equipment
13 Disregarded Traffic Signal
14 Exceeded Safe/Posted Speed
15 Driving/Wrong Side/Way on Road
16 No/Improper Use of Lights
17 Failed to Have Safety Signals
18 No/Improper Driver License
19 Unauthorized Person Driving
20 Violation Of Loading/Towing Regulations
21 Flee/Attempt to Elude Law Officer
22 Possession/Under Influence of Drugs
23 Other Violation
24 No Offense Charged

CONTRIBUTING CAUSES/ROAD
1
1 No Defects
2 Shoulders/Soft/Low/High
3 Loose Surface Materials
4 Holes/Ruts/Unsafe Paved Edge
5 Standing Water
6 Worn/Polished Road Surface
7 Road Under Repair/Constr.
8 Obstruction With/Without Warning
9 Other ________

CONTRIBUTING CAUSES/ ENVIRONMENT
1
1
1 Vision Not Obscured
2 Inclement Weather
3 Trees/Crops/Bushes
4 Sign/Billboard
5 Load on Vehicle
6 Building/Fixed Object
7 Parked Vehicle
8 Other ________

TRAFFIC CONTROL
4
1 No Control
2 Stop Sign
3 Yield Sign
4 Traffic Signal
5 Caution/Flashing Light
6 Officer/Guard/Flagman
7 Railroad Signal
8 Posted Speed Zone
9 Other ________

LOCATION ON ROADWAY
V1 V2
2 2
1 Not On Roadway
2 On Roadway
3 Shoulder
4 Median
5 Turn Lane/Safety Zone

ROAD SURFACE/ CONDITION
1
1 Dry
2 Wet
3 Slippery
4 Icy
5 Other

HAZARDOUS MATERIALS BEING TRANSPORTED
V1 V2
1 1
1 None
2 Flammable Liquid
3 Corrosive Materials
4 Explosives
5 Radioactive Materials
6 Poisonous Gas
7 Other ________

DRIVING ABILITY QUESTIONABLE RECOMMEND RE-EXAM
1 Yes 2 No D1 2 D2 2
If Yes, explain in Narrative/Supplemental Report

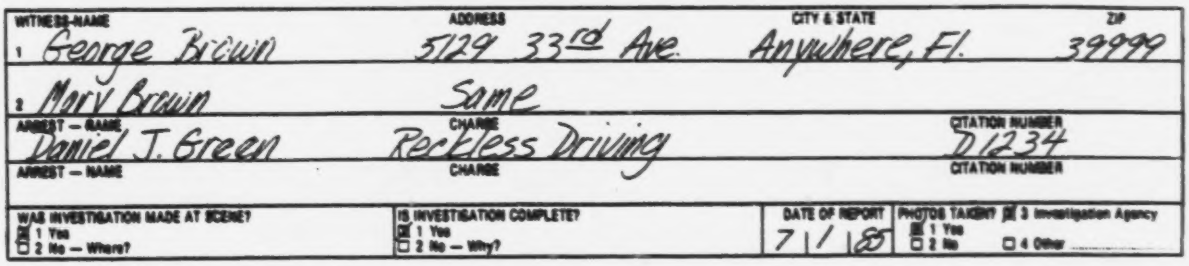
Figure D-3-10
Supporting Information

27. Enter the name(s) and address(es) of any witnesses.

28. Enter arrest information, if applicable; enter name(s) of person(s) arrested/charge(s)/citation number(s).

29. Enter information concerning photos taken.

30. Enter date of report/where investigation was made/is investigation complete.



WITNESS-NAME 1 George Brown	ADDRESS 5129 33rd Ave.	CITY & STATE Anywhere, Fl.	ZIP 39999
2 Mary Brown	Same		
ARREST — NAME Daniel J. Green	CHARGE Reckless Driving	CITATION NUMBER D1234	
ARREST — NAME	CHARGE	CITATION NUMBER	
WAS INVESTIGATION MADE AT SCENE? ☒ 1 Yes ☐ 2 No — Where?	IS INVESTIGATION COMPLETE? ☒ 1 Yes ☐ 2 No — Why?	DATE OF REPORT 7/1/85	PHOTOS TAKEN? ☒ 1 Yes ☐ 2 No ☒ 3 Investigation Agency ☐ 4 Other ______

Page 2 of ______ Pages

Figure D-3-11
Witness and Arrest Information

STEP 8: **Issuing a traffic citation.** An officer should issue a traffic citation only after a thorough investigation, and even then, only if there is a violation of a traffic law. The officer should not try to place the responsibility for repairing the damage to the vehicles. His/her only responsibility is to show the violation of a traffic law and the end result of the violation.

STEP 9: **Completing the accident scene investigation.** The very last part of the investigation covers three areas. The officer should make sure:

- drivers exchange information so they can file an accident report with their insurance companies, including
  1. name of other driver
  2. address
  3. city and state
  4. insurance company
  5. insurance policy number
  6. location of accident
  7. date and time of accident
- the street is clear of all debris
- all evidence is collected and tagged so that it can be turned in with the report. (See Section 2 for proper collection procedures.)

After this has been accomplished, the officer returns to routine patrol and is ready to handle the next call for service.

Accidents Involving Death or Major Injury

The law enforcement officer's responsibility is the protection of life. In case of death or injury, the **officer treats the injured first before investigating the accident.** If there has been a death, the position of the body is marked immediately after removing the injured to the hospital so that the officer will be able to recall its proper location. The officer then starts his investigation following the same procedure as stated in the first part of this section. The following additional investigation is required:

1. **Photographs:**

   a. the vehicle's direction
   b. the road condition
   c. license plate of vehicles involved
   d. damage to the vehicles
   e. skid marks
   f. oil, water, or gas spills
   g. bloodstains
   h. clothing
   i. bodies
   j. paint scratches

2. **Measurements:**

   a. all objects involved in the accident
   b. skid marks
   c. tire prints
   d. gas and oil puddles
   e. position of vehicles
   f. bodies and vehicles
   g. bloodstains
   h. width of street
   i. shoulders of street
   j. traffic devices and signs

3. **Road conditions:**

   a. curved
   b. flat
   c. potholes
   d. speed limit

4. **Weather conditions:**

   a. rain
   b. fog
   c. snow
   d. ice

5. **Vehicle condition:** (Check for defects in these items.)

   a. tires
   b. brakes
   c. steering
   d. windshield
   e. lights
   f. turn signals

6. **Interviews:** (Check the background of the driver and contact these people.)

   a. family
   b. friends
   c. associates
   d. co-workers

During the interviews, obtain information on the driver's habits and emotional condition prior to the accident.

NOTE: If an autopsy is required, supply the medical examiner with all of the information on the accident. Then add the findings of the medical examiner to the final report.

All of your investigational skills must be used to accurately reconstruct the accident. You have to:

- show that the witnesses' statements are factual
- evaluate the condition of the driver
- collect and record all physical evidence
- take pictures and measurements of the scene
- note road and weather conditions
- check the vehicle for mechanical failures
- assist the medical examiner
- check the background of the driver.

By doing this, you will prepare yourself to give accurate information in court so the accident file can be cleared and closed.

Pedestrian Accidents

Pedestrian accidents are an increasing problem for law enforcement. Even though a pedestrian accident investigation is the same as any other accident investigation, there are additional considerations which must be recognized. Pedestrian accidents often involve the following:

Children. Unlike adults, children have to be trained in traffic safety. Programs should be developed and presented at schools. With the cooperation of teachers, training sessions should be held to instruct children so they can recognize unsafe conditions, use safe habits in walking to and from school, and play and ride bicycles in safety. Safety awareness will cut down on the possibility of their being involved in an accident.

The Elderly. The elderly pose another problem for law enforcement. The physical problems that develop with age cause the elderly to be more prone to accidents. Again, good safety programs should be established to re-educate senior citizens about traffic problems and traffic safety.

Others are not immune to pedestrian accidents. The law enforcement officer often has to deal with and investigate accidents which involve:

- intoxicated persons
- bicycle riders
- jaywalkers.

Pedestrian accidents will never be eliminated; however, through safety education programs, the number of accidents can be reduced.

Hit-and-Run Accidents

Hit-and-run accidents place an extra burden on investigating officers. Not only does the officer have to handle the accident investigation, but he/she now has to track down the driver and vehicle that left the scene. An accident becomes a hit-and-run accident when the driver of one of the vehicles does not fulfill the requirements of the law by:

- stopping
- giving aid
- identifying him/herself to the other driver.

If the driver fails to do any of these, it becomes a hit-and-run accident.

There are four things a driver could do to cover up his involvement in a hit-and-run accident, thus the officer should check to determine if:

- the driver who fled the scene was responsible for the accident
- the driver was wanted for something else
- the driver reported the accident later
- the driver reported that his vehicle was involved in a different hit-and-run accident
- the driver abandoned the vehicle and reported it stolen.

The investigating officer must consider this information to determine if, in fact, the driver was involved in the accident and is trying to conceal his identity. To do this, during the investigation the investigating officer must obtain information about:

- the accurate description of the vehicle involved, including make, model, color, and license plate number
- the direction in which the vehicle left the scene
- the extent and location of the damage to the vehicle
- the number of passengers in the vehicle and their description
- other identifying marks on the vehicle such as parking stickers, inspection tags, school stickers, organization decals, and company decals
- physical evidence carried away by the vehicle when it left the scene.

Whatever information about the vehicle is discovered by the officer should be broadcast over the police radio as soon as possible so other patrol units can begin to search the surrounding areas for the vehicle.

When the vehicle is located, steps should be taken to identify it as the one involved in the accident. The following physical evidence should be collected and tagged for use in court:

- fingerprints
- pictures taken of the vehicle and its damaged areas
- paint scrapings to match the paint chips left at the scene
- bloodstains, if any

- the license tag number (this should be entered in the law enforcement computer files as soon as possible)
- the impounded vehicle as evidence for court.

If the vehicle is not located and the officer is unable to get computer information on the tag for ownership, the next step is to notify all repair shops and garages and have them report all repairs made to vehicles fitting the description of the hit-and-run car. Also, to maintain a consistent investigation, all accident reports given to the department should be checked for similarities to the hit-and-run vehicle.

With the information the officer has collected through the investigation, a **John Doe warrant** could be issued for the hit-and-run vehicle and driver.

This type of accident is very time-consuming, but with the proper investigation the driver of the hit-and-run vehicle can be arrested for the crime.

Summary

Accident investigation is a very important part of a law enforcement officer's job. As you have studied in this section, there are many types of accidents a law officer could encounter, although they are all investigated in nearly the same manner. It is your responsibility as an officer to develop the knowledge and techniques necessary to investigate an accident so the proper persons are charged and the accident's causes can be brought to light and corrected.

Now complete the review questions beginning on the next page.

John Doe warrant: a warrant issued when the exact identity of the person is not known.

Review Questions (I: D-3)

Write your answers on a separate sheet of paper.

Choose the correct definition from the list on the right for each accident investigation term listed on the left. Write the letter of the definition on your paper by the number of the term.

Terms	**Definitions**
1. encroachment	a. an event on the road which characterizes the manner of occurrence of a motor vehicle traffic accident
2. final position	b. any accident involving a device designed primarily for, or being used at the time primarily for, conveying persons or goods from one place or another
3. key event	c. a traffic unit which contributes to an accident but strikes nothing and suffers neither damage nor injury
4. shoulder	d. movement into the path assigned to another traffic unit
5. motor vehicle nontraffic accident	e. time and space available for evasive action involving elements such as speed, direction, change of speed and direction, and position
6. transport accident	f. portion of road contiguous with roadway for accommodation of stopped vehicles, for emergency use, and for lateral support of roadway structure
7. traffic accident	g. place and time when objects involved in accident come to rest without application of power
8. noncontact unit	h. any inherent characteristic of a trafficway, a vehicle, or a person making a trip on the trafficway that affects the probability of a traffic accident
9. attributes	i. any motor vehicle accident which occurs entirely in any place other than a trafficway
10. dynamic situation	j. combination of simultaneous and sequential circumstances without any one of which an accident could not have happened

11. List **five** types of motor vehicle accidents classified as a collision between the vehicle and another object.

12. List **five** classifications of vehicle accidents by severity.

13. Operational factors which cause traffic accidents are: (Choose **all** correct answers.)

    a. faulty evasive action.
    b. characteristic of road and trafficway.
    c. attributes and modifiers.
    d. defective driving strategy.

14. Conditional factors in a traffic accident involve characteristics of ______, ______, and ______.

15. Which of the following is **not** an attribute of a trafficway?

    a. warning signs
    b. natural light
    c. surface character
    d. artificial light

16. Which of the following is **not** a modifier of conditional factors or people?

    a. clothing
    b. medicines
    c. attitudes
    d. preoccupation

17. List the **nine** steps followed by an officer during an accident investigation.

18. List the additional evidence needed when an accident results in death or major injury.

19. Of the groups listed below, which one of the listings is **not** included in the problem of pedestrian accidents?

    a. elderly persons
    b. children and bicycle riders
    c. intoxicated persons and jaywalkers
    d. middle aged persons

20. List the information which should be collected during the investigation of a hit-and-run accident in order to locate the vehicle.

Check your answers with the correct ones provided in the answer key.

Block I: Law Enforcement
Unit D: Law Enforcement Operations
Section 4: Search and Arrest

Ask your instructor for the pretest for this section (I: D-4). After you complete the pretest, your instructor will let you know whether to study this section or to take the posttest.

Introduction

Law enforcement agencies have the responsibility and authority to arrest suspects in order to protect society from criminals. The law enforcement officer's duty is to use this power of arrest justly and wisely. Each arrest is different, and the officer should be able to evaluate and handle each arrest situation properly and lawfully. Therefore, officers should know the practical and legal aspects of arrest, such as the techniques for handling violent **arrestees** and the mental resistance of arrestees. They should also know the requirements of the law and the legal and departmental discipline resulting from unlawful or improper handling of the arrest. Since each arrest is different, there is no routine arrest. However, there are some techniques, principles, and responsibilities which are common to all arrest situations. These basic, common techniques and principles are covered in this section. You should become familiar with the practical and legal aspects of arrest.

Searching the suspect after the arrest is an equally important duty of law enforcement officers. In this section the basic techniques, principles, and precautions for search are also covered.

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arrestees: persons arrested.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify basic procedures and techniques necessary for a safe arrest.
2. Identify things to consider when making an arrest in a public place, in a suspect's home, and in the suspect's place of employment.
3. List at least four common types of arrestee reactions.
4. Identify one general factor which determines the amount of force to be used in making an arrest.
5. Identify six factors that should be considered under "totality of circumstances" with respect to due process.
6. Match four basic types of searches with their descriptions.
7. Identify general procedures and techniques of a wall search.
8. Identify general procedures and techniques of handcuffing and transferring the arrestee.

Performance Objectives

Given a simulated situation (a person playing suspect, and all necessary supplies), arrest, search, and handcuff the suspect. Your performance on the following tasks should be rated "A" (acceptable):

Arrest

- Notify dispatcher of your location.
- Approach the suspect.
- Apprehend the suspect.
- Arrest the suspect.

Search

- Settle the suspect's position for search.
- Secure the suspect's position for search.
- Establish your position for search.
- Conduct search.
- Place any contraband and weapons in proper places.

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Handcuff

- Handcuff the suspect.
- Remove the suspect from the scene.
- Process the arrestee for confinement.

Essential Elements for a Safe Arrest

There are **inherent** dangers such as physical injury, death, or civil liability in making an arrest. Therefore, the officers should be cautious and brave and should not take unnecessary chances when making an arrest. In order to make a safe arrest, the officers should remember these essential elements: **caution, planning and preparation,** and **manpower.**

Caution

When making an arrest, officers should:

- assume that the suspect is armed and poses a threat to their safety and the safety of others
- set aside their fears and feelings and perform their duties objectively
- respond to potentially life-threatening situations with courage and a sense of duty
- **not** exhibit timidity or recklessness in the performance of their tasks
- **not** allow others to do their job for them
- **not** act impulsively, since impulsive actions can be very dangerous and might even result in the suspect escaping capture.

Planning and Preparation

In most instances, the officer must evaluate the situation and determine whether he/she is going to make an arrest and how to accomplish the arrest within a matter of seconds. If an arrest is not considered legal, some evidence may not be allowed in court. If an arrest is delayed too long, the suspect may run away or the evidence may be destroyed.

Manpower

Manpower is the number of law enforcement officers needed to effect an arrest and is usually determined by the arrest situation itself. The greater number of officers available, the greater the likelihood of a successful arrest. The officer **should not** hesitate to call for assistance when it is needed to make an arrest.

Arrest procedures and techniques differ depending upon the people and the crimes involved in the arrest. An arrest can take place on a street, in a public place, in a suspect's home, or in his/her place of employment.

In a **warrantless arrest** situation, you must evaluate the situation and determine what actions to take for a safe and **expeditious** arrest. The less time a suspect has to react to the arrest, the easier it is for the officer.

The following are guidelines on how to approach, arrest, and search the suspect and how much force to use for a safe arrest:

Arrest and Search Procedures

STEP 1: Notify dispatcher of your location.

STEP 2: Approach the suspect as soon as possible.

- Scan the surrounding area.
- Plan your actions.
- Select a spot for the arrest.
- Approach him/her from rear or side calmly, quietly, and cautiously.
- Cut off escape route.
- Prepare for his/her escape attempt.
- Watch him/her constantly, noting his/her physical and mental condition and physical characteristics for identification purposes.
- Watch for objects that s(he) may discard.

CAUTION: Assume that the suspect is armed, and be sure to keep your eyes on the suspect's hands and arms.

STEP 3: Apprehend the suspect as soon as possible.

- Take the suspect by surprise.
- Stop actions and pursue suspect (as required).
- Restrain suspect physically (as required).
- Keep suspect away from his/her strong hand side.
- Stand slightly to the rear and right of the suspect.
- Use force as a last resort, and use only the amount of force necessary to overcome resistance.

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warrantless arrest: arrest of a person without obtaining a warrant. Grounds for warrantless arrest vary according to laws of the states.

expeditious: acting with promptness and efficiency.

- Adhere strictly to the laws of arrest.

NOTE: Use special care with juveniles and the mentally ill.

STEP 4: Arrest the suspect.

- Command, "Don't move!"
- Identify yourself as a law enforcement officer, and show your credentials to the suspect.
- Order the suspect to move only when told.
- Inform the suspect that s(he) is under arrest and explain the reason for arrest.
- Advise the suspect of his/her constitutional rights.
- Note statements made by the arrestee.

STEP 5: Search the suspect for weapons and contraband items.

STEP 6: Handcuff the suspect.

NOTE: More detailed procedures and techniques of the searching and handcuffing process are described later in this section.

Arrest Locations

When the arrest takes place **in a public place**, be familiar with possible escape routes and remove the suspect from the vicinity by the fastest and safest route. If possible, **do not undertake an arrest in the presence of innocent bystanders**, especially where the likelihood of imminent danger exists. In delaying an arrest, however, you must weigh the danger to the community and to innocent bystanders if the suspect flees.

Example: You would not attempt to arrest an armed murder suspect on a crowded street if you could do so elsewhere.

When you make an arrest in the **suspect's home**, handcuff the suspect and remove the suspect from his/her home as quickly as possible. Should there be a delay in removing the suspect, separate him/her from family or friends and guard him/her closely to prevent escape because he/she is more familiar with the surroundings than you are. When you make an arrest at the suspect's **place of employment**, notify the employer of the arrest to be made (or after the arrest, if prior notification is not practical or is impossible), consult the employer concerning the safest place to make the arrest so that innocent people will not be endangered. When an arrest might jeopardize the property of the employer, take every precaution to protect the employer's interests.

Behavior of the Arresting Officer

To maintain control of the entire arrest situation, you should be sure to do the following:

- Use verbal and nonverbal communications.
- Inform the suspect you are acting in an official capacity.
- Deal with the prisoner in a businesslike and impartial manner.
- Be forceful but not hostile; dominate the arrest situation.
- Speak in a clear and decisive voice, and do not show any signs of nervousness.
- Do not use profanity, and avoid any unnecessary conversation.
- Show concern for the prisoner. In a majority of cases, the prisoners who are treated fairly offer little or no resistance.
- Be constantly aware of the attempts by suspects to destroy evidence, obtain weapons, or escape.
- Closely supervise suspects when they request to go to the bathroom, get an article of clothing, etc.
- If the arrest situation warrants it, call for backup assistance.

After Achieving Custody

You should be aware of and prepared for many different types of reactions from the suspects. The following are some of the common types of reactions of arrestees:

- submit peacefully
- attempt to talk their way out of the arrest
- attempt to flee
- resist the arrest and assault the officer
- attempt suicide
- attempt to have family or friends help them to escape

You should not use unnecessary force against the suspect even though he/she may become physically violent, and you may have to forcefully restrain him/her regardless of the crime for which he/she was arrested.

When Using Force in an Arrest

The force used by law enforcement officers in making an arrest may be a simple verbal command, or it may include physical contact. In any case, you should never use unnecessary force or abuse the prisoner physically once he/she is placed under arrest. **Generally, the type of force used in making an arrest is determined by the nature and seriousness of the crime committed by the suspect.** However, there are certain factors you should consider when determining the amount of force to use for making an arrest:

- your knowledge of the suspect
- the suspect's arrest record and reputation for violence
- the type and seriousness of crime committed

- the attitude and reaction of the suspect
- the physical and mental condition of suspect
- the number of suspects and law enforcement department support
- the likelihood of the suspect being armed

Also, there are some considerations you should take into account concerning using a **revolver** when making an arrest:

- Never use deadly force, such as firing a revolver, in a misdemeanor arrest.

- In a felony arrest, use only the force necessary to make the arrest. When you have to use deadly force to make the arrest, know the law enforcement department regulations and abide by them. (Some law enforcement departments have guidelines concerning the use of deadly force which are stricter than state regulations.)

- The majority of arrests and contacts with citizens do not present an immediate danger to your safety. Therefore, keep your revolver in the holster when approaching a suspect or making a field contact. However, you must be constantly aware of the potential for danger and be cautious for yourself and others. Be prepared for any eventuality.

- Do not carry a clipboard, flashlight, citation book, or any other object in your hand when approaching a suspect.

- Keep your hand on the butt of the revolver when approaching a suspicious suspect.

- Be alert for signs of danger, such as the time of day, neighborhood, attitude of bystanders, and the suspect. Consider all of these when making a decision about whether to draw your revolver to make an arrest.

- In a felony arrest situation (when you know the suspect is dangerous), you should draw your weapon (but do not cock it) and aim it at the suspect when approaching him/her. Hold your weapon at arm's length, but close to your hip (see Figure D-4-1 on the following page). Do not holster the weapon until the suspect is under your complete control.

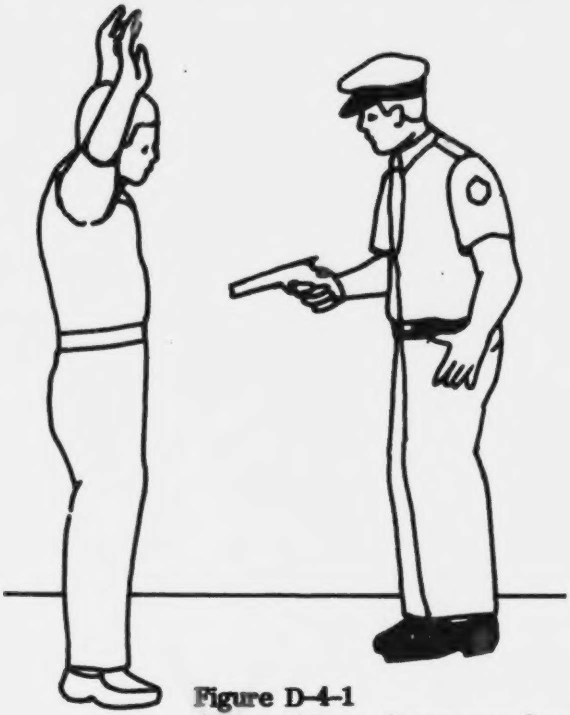

Figure D-4-1
Approaching a Dangerous Suspect

- Never fire warning shots. They may cause damage to property and could even kill innocent bystanders. You should only fire the weapon in order to protect yourself or others.

Conducting Interrogations

The same procedures that apply to interviews, discussed in Section 2, also apply to interrogations; however, the Fifth Amendment states "No person shall . . . be deprived of life, liberty, or property, without due process of law." Any confession or information obtained in violation of the "due process" rule is not admissible as evidence. Any conviction based on such a confession or other information illegally obtained will be overturned. Due process is a right given by both the Fifth and Fourteenth Amendments to the U.S. Constitution.

Originally, the right to due process protected a suspect from obvious violations, such as threats, false promises, or beatings. Beginning in the mid-1940s, the decisions of the Supreme Court broadened this protection. Any evidence or confession obtained under questionable conditions was not allowable in court. In other words, the "totality of circumstances" (the total circumstance of the interrogation) was always to be considered when protecting the right to due process. The following chart summarizes some of these landmark decisions and how they have broadened the protection of the suspect.

Influence of Supreme Court Decisions on Due Process

• Haley v. Ohio, 323 U.S. 596 (1948) • Payne v. Arkansas, 356 U.S. 560 (1958)	Age of suspect/ offender	Younger suspects/ offenders may not be interrogated for as long as adults.
• Turner v. Pennsylvania, supra Harris v. South Carolina, supra	Arrest procedures used	Law enforcement officers must inform a person of the reason(s) for their arrest.
• Haley v. Ohio, supra • Turner v. Pennsylvania, supra • Ashdown v. Utah, supra		Law enforcement officers must warn a person of their rights at the time of their arrest.
• Watts v. Indiana, 338 U.S. 49 (1949) • Payne v. Arkansas, supra • Spano v. New York, 360 U.S. 315 (1959)	Basic necessities of suspect/offender	A person under interrogation must be allowed to have sufficient food, clothing, sleep, etc.
• Haley v. Ohio, supra	Conduct of law enforcement officers	Conduct of law enforcement officers before and after the interrogation must remain professional in every respect.
• Stein v. New York, 346 U.S. 156 (1953) • Fikes v. Alabama, 352 U.S. 191 (1957) • Spano v. New York, supra	Criminal experience of suspect/offender	Law enforcement officers have less latitude in their interrogation procedures when dealing with less experienced criminals.
• Harris v. South Carolina, 338 U.S. 68 (1949) • Spano v. New York, supra • Fikes v. Alabama, supra • Payne v. Arkansas, supra • Crooker v.California. 357 U.S. 433 (1958)	Educational background of suspect/ offender	Law enforcement officers must consider the eductional level of the suspect/offender during interrogations.

• Chambers v. Florida, 309 U.S. 227 (1940) • Ashcraft v. Tennessee, 322 U.S. 173 (1944) • Haley v. Ohio, supra • Ashdown v. Utah, 357 U.S. 426 (1958)	Interrogation procedures	The number of questions must be kept as low as possible.
• Fikes v. Alabama, supra • Haley v. Ohio, supra • Ashcraft v. Tennessee supra • Watts v. Indiana, supra		Interrogation time must be kept as short as possible.
• Haley v. Ohio, supra • Ashcraft v. Tennessee, supra • Crooker v. California, supra		Interrogations at night should be avoided if possible.
• Watts v. Indiana, supra • Ashcraft v. Tennessee, supra • Harris v. South Carolina, supra		Continuous questioning in relays by a team of interrogators should be avoided.
• Watts v. Indiana, supra • Ashcraft v. Tennessee, supra • Harris v. South Carolina, supra		False (relay) questioning: Avoid continuous questioning in relays.
• Spano v. New York, supra • Turner v. Pennsylvania, 338 U.S. 62 (1949) • Leyra v. Denno, 347 U.S. 556 (1954)		Avoid making false statements or promises to obtain information or a confession.

• Fikes v. Alabama, supra • Payne v. Arkansas, supra • Spano v. New York, supra	Mental capacities of suspect/offender	Interrogation procedures must be consistent with the mental capabilities of the suspect/offender.
• Galleos v. Nebraska (dissent) 342 U.S. 55 (1951) • Spano v. New York, supra	Nationality of suspect/offender	Familiarity with the language and customs of this country must be considered.
• Fikes v. Alabama, supra • Haley v. Ohio, supra • Watts v. Indiana supra • Spano v. New York, supra • Cicenia v. LeGay, 357 U.S. 504 (1958)	Visitors	The suspect/offender should be allowed to see his/her lawyer, family members, or friends if possible.

While no single factor listed in this chart will violate the "totality of circumstances" rule, a combination of these factors might. However, see Cicenia v. LaGay, 357 U.S. 504 (1958) or Ashdown v. Utah, 357 U.S. 426 (1958) for examples of cases where combinations of the factors listed still did not violate the rule.

Search Procedures and Techniques

Immediately after you make an arrest, you **must** search the suspect, handcuff, and remove him/her from the scene. If you fail to do so, serious bodily injury or even death may result.

There are four basic search positions: wall search, standing search, kneeling search, and prone search. The **wall search** does not protect the officers. Therefore, you should proceed cautiously and maintain complete control of the situation. The **standing search** is easier and more convenient to use than the wall search, since it does not require a stationary object for the suspect to lean on. The **kneeling search** is preferable for felony searches because it offers a greater degree of safety for the officer than the other methods of search. The **prone search** is the safest of the four methods, if it is executed properly, because you have complete control from the time you first take hold of the suspect until he/she is finally handcuffed.

In this section, we will only cover the wall search method. However, if you are interested in learning other methods, let your instructor know. He/she may teach you those methods.

Wall Search

STEP 1: Settle the suspect's position for the search. To do this:

- have the suspect place his/her hands in front of him/her with the palms open. This prohibits the suspect from concealing anything in the palms such as evidence or a dangerous weapon.
- order the suspect to turn around, place his/her hands against the wall, and then back up. Suspect should be leaning against the wall at a 45-degree angle.

- order the suspect to spread his/her hands and feet wider than shoulder width, and turn toes outward, as shown in Figure D-4-2. This places the suspect in an awkward position and enables you to maintain better control of the suspect.

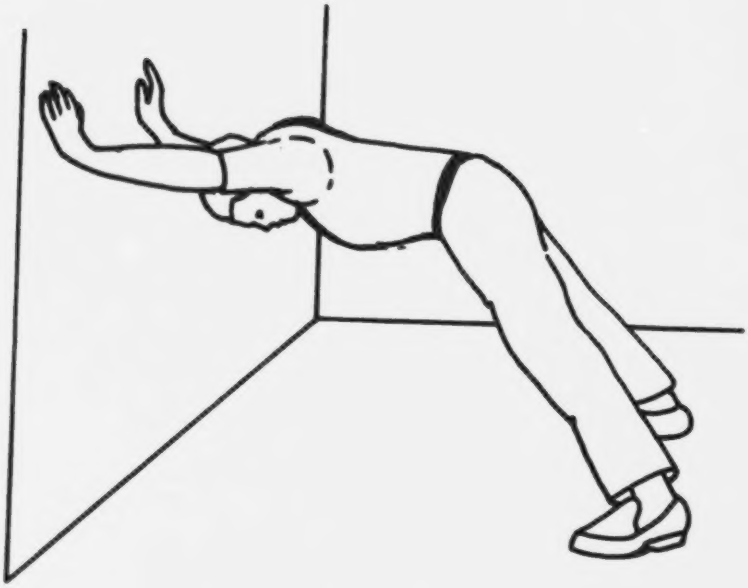

Figure D-4-2
Getting the Suspect Ready for Search

STEP 2: Secure the suspect's position for the search. To do this:

- step between the suspect's legs, placing your right foot next to the inside of the suspect's right foot
- at the same time, grasp the suspect's trouser belt or waist band with your left hand
- then slide your right foot out against his/her right foot, forcing him/her to spread his/her legs wider (see Figure D-4-3)

NOTE: In this position, the suspect is totally dependent on his/her arms and legs for support. If he/she moves either arm or leg, he/she will fall to the ground.

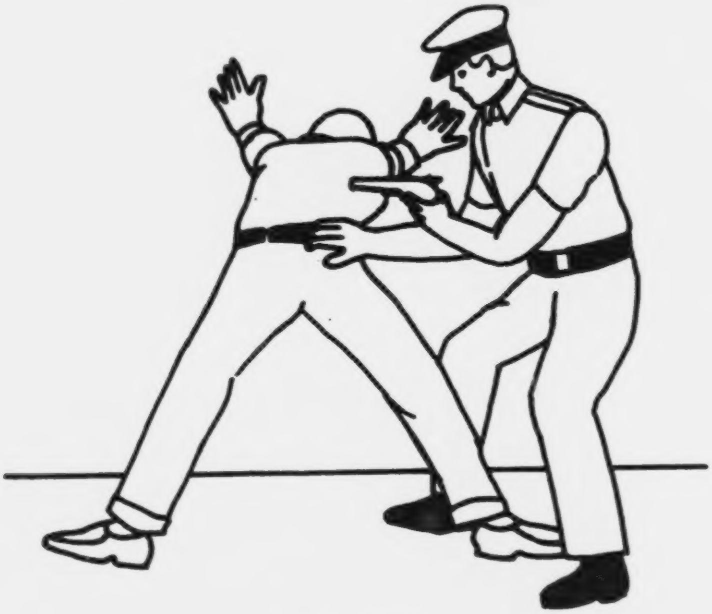

Figure D-4-3
Establishing the Proper Search Position

- keep your hand on the suspect's belt as a control point. If the suspect makes any attempt to move, you can control him/her from this position and s(he) can be forced to the ground with your hand.

STEP 3: Establish your position for searching **the right side.** To do this, use any of the following three methods:

- with your right foot at the inside of the suspect's right foot, lean forward to search with your right hand.

or:

- move your left foot forward and place it to the inside of the suspect's right foot.

or:

- place your right leg over the suspect's right leg, hooking your right heel inside the suspect's right instep.

STEP 4: To conduct the search for weapons and contraband, start by inspecting the suspect's head. To do this:

- run your fingers through the **hair** of the suspect. Do this carefully and thoroughly because narcotics and small weapons, such as razor blades, may be concealed in the hair.
- check the **mouth** by engaging the suspect in some conversation. Contraband may be concealed in the suspect's mouth. **CAUTION:** Never put your fingers in the suspect's mouth.
- check the **neck and shoulders.** Search the right side first, then change the position and search the left side. The search should overlap the midsection of the suspect.

- search the suspect's clothing by grasping and crushing to detect objects that are taped to the body or sewn into the clothing. Check all clothing very carefully and thoroughly, especially coats and jackets (see Figure D-4-4). Every inch of the clothing should be grasped in the hand and actually crushed.

  CAUTION: Do not slide your hands over the clothing.
- check the **arms** by moving down the outside of the arm from the shoulder to the wrist and back up the underside of the arm to the armpit.
- search the **upper front** part of the suspect by placing your right thumb inside the waistband of the suspect's trousers and curling your fingers between the suspect's belt and trousers.

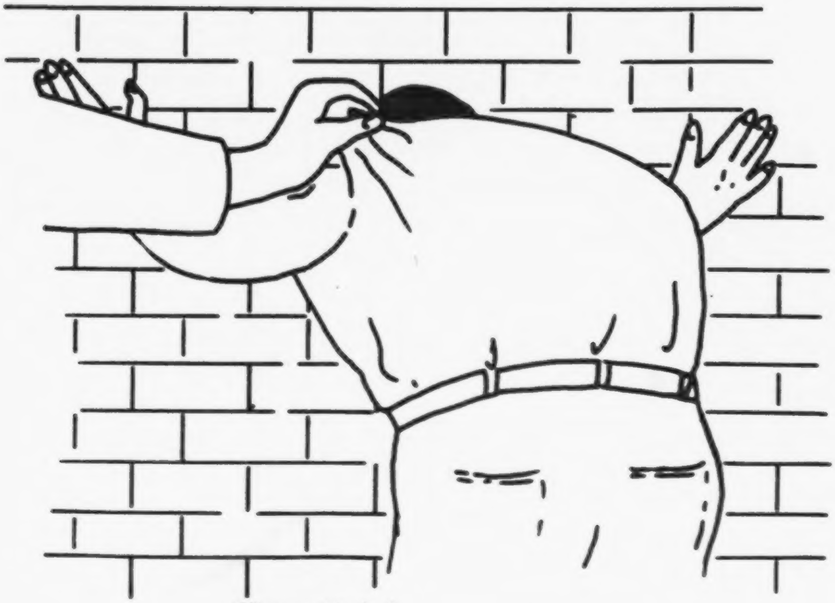

Figure D-4-4
Searching the Suspect's Clothing

- slide your hand all the way **around the front** of the suspect, passing the belt buckle. Check the less obvious areas, such as watch pockets and loose parts of the shirt. Make sure to check the crotch area.
- search the **outside of the right leg**. Continue to use the grasping technique. Slide your fingers **inside the stocking and shoe.**
- if the suspect is wearing boots, have him/her take them off after completing the search on the right side. Turn the boots upside down and shake them to empty them. Check the bottom for anything that could be taped to the sole.

STEP 5: Place any contraband or weapons you find in a corresponding position on your body. It will aid you in remembering where they were on the suspect. If you have a fellow officer assisting you, turn the items over to him/her and describe the location where the items were found.

STEP 6: Reverse your position and repeat the process for the **left side of the suspect.** The right hand should now be the control hand. Place the items you find as you did for the right side search.

STEP 7: Handcuff the suspect. To do this:

- make sure that you are facing the suspect's back. Suspects should never be handcuffed with their hands in front of them.
- incapacitate the suspect by having him/her spread feet wide apart, placing both hands behind the head and interlacing fingers. Remain at least two steps away until the suspect is in this position.
- cuff the hands with the palm outward. Maintain control during the cuffing process.
- double lock the handcuffs.

NOTE: Handcuffs are a valuable tool and they can be used effectively to restrain arrested persons if their limitations are recognized. They are designed to temporarily inhibit the movement of an arrestee's arms, thereby giving the advantages of control to the officer. **As a general rule, every arrestee should be handcuffed,** since most arrestees act with emotion rather than reason. There are various methods of applying handcuffs depending on which search position is used. In general, the five rules of handcuffing are as follows:

- Do not approach the suspect from the front.
- Incapacitate the suspect before approaching.
- Maintain control during the cuffing process.
- Cuff the hands with the suspect's palms outward.
- Double lock the handcuffs.

STEP 8: Remove the arrestee from the scene as soon as possible.

- Take the arrestee to confinement facility or magistrate.
- Walk the arrestee to confinement facility, if practical.
- Hold handcuff chain at all times when moving arrestee.
- Place the arrestee in safest location within a law enforcement vehicle.
- Take purse and spike heeled shoes from female arrestee.
- Notify dispatcher and record the starting and ending location and odometer reading.
- Refuse requests of arrestee.

- Keep constantly alert against personal attack or attempt to escape.

- Note statements made by arrestee during transporting.

NOTE: If you fail to remove the arrestee as soon as possible, the result may be serious, such as the potential liability of the police for actions taken against the victim or witnesses by the arrestee.

STEP 9: Process the arrestee for confinement.

- Provide required medical treatment.

- Complete Injured Arrestee Field Report.

- Deliver to custodial officer at appropriate institution.

- Adhere to institution's confinement procedures.

- Have necessary commitment documents.

- Supply necessary information.

- Sign required forms.

- Remove handcuffs.

- Keep constantly alert against personal attack and attempt to escape.

NOTE: Searching female suspects may present some problems for the male officer. A professional attitude should be maintained at all times, and the fact that the suspect is a female should not diminish the importance of having complete control of the situation.

Summary

No matter who the suspect is, the officer's approach should be firm but polite. Do not make any comments that could be taken out of context or misinterpreted by the suspect or others.

The law makes no distinction between males and females regarding searching during an arrest. Officers have the right to search any arrested person before taking him/her to jail. In order to make a complete search of a female suspect, a male officer must be able to justify to his superiors and the court why a complete search was necessary. **Sometimes, it may be necessary to arrange for a female officer to make a detailed search.**

Now complete the review questions beginning on the next page.

Write your answers on a separate sheet of paper.

1. Identify the **four** essential elements an officer should follow to make a safe arrest.

2. Which of the following should be avoided when making any arrest?

   a. bravery
   b. professionalism
   c. recklessness
   d. caution

3. In any arrest situation, the officer should: (Choose **all** correct answers.)

   a. call for assistance, if needed.
   b. assume that the suspect is armed.
   c. act impulsively.
   d. allow other people to get involved in arrest, if needed.

4. Proper arrest techniques are designed to: (Choose **all** correct answers.)

   a. protect innocent bystanders.
   b. provide for the officer's safety.
   c. reduce risks and dangers involved.
   d. prohibit assistance of other officers.

5. A judge may refuse to accept evidence from a crime if:

   a. it was collected during an illegal arrest.
   b. the suspect was able to get away.
   c. it interfered with the suspect's constitutional rights.
   d. it was found after an informant tipped off the suspect.

6. You should approach the suspect from the ______ or ______.

7. Which **three** of the following would be proper to say to a suspect when you make an arrest?

   a. "Don't move!"
   b. "You are under arrest for the charge of burglary at the ABC Toy Store!"
   c. "I am going to arrest you because we have evidence of your fingerprints indicating that you burglarized the ABC Toy Store!"
   d. "You have a right to be silent and to have an attorney to represent you for your defense."

8. When you make an arrest in a public place, you should: (Choose **all** correct answers.)

    a. avoid making an arrest in the presence of innocent bystanders.
    b. be familiar with possible escape routes.
    c. handcuff the suspect before search to reduce the danger to innocent bystanders.
    d. ask all innocent bystanders to move away from the suspect.

9. When making an arrest in the suspect's home, you should: (Choose **all** correct answers.)

    a. handcuff and remove the suspect from his/her home as quickly as possible.
    b. tell the suspect's family and friends to get out of the house.
    c. not handcuff the suspect since it is the suspect's own home.
    d. guard the suspect more closely to prevent escape because s(he) knows the territory very well.

10. When making an arrest at the suspect's place of employment, you should:

    a. go with many other officers so they can help ensure the safety of the employees.
    b. notify the employer of the arrest to be made.
    c. not worry about the employer and other employees.
    d. always make sure there is nobody with the suspect.

11. Two officers are discussing some things to remember when making an arrest. Officer A says that he should **not** show concern for the arrestee but be forceful and belligerent. Officer B says that she would show concern for the arrestee as well as be forceful. Who is right?

    a. officer A only
    b. officer B only
    c. both officer A and officer B
    d. neither officer A nor officer B

12. What are **three** types of reactions arrestees are likely to have?

13. The officer should not use ______ force against the suspect in any circumstances.

    a. any
    b. unnecessary
    c. deadly
    d. peaceful

14. Which **three** of the following should an officer consider when determining the amount of force to use for an arrest?

    a. the type of crime
    b. attitude of the suspect
    c. the officer's physical condition
    d. likelihood of the suspect being armed

15. What should be the **only** reason to fire the revolver?

   a. to protect the officer and other bystanders
   b. to arrest the suspect unharmed
   c. to warn the suspect and bystanders
   d. to protect property

16. List at least **six** factors that should be considered under "totality of circumstances" with respect to due process.

For questions 17-20, match each type of search with its description. Write the letter of the description by the number on your paper.

17. kneeling search
18. prone search
19. standing search
20. wall search

a. does not protect the officers very much, therefore the officer should complete the search cautiously
b. relatively easy and convenient to use
c. provides safety for the officers and is recommended for use in felony searches
d. the safest of the four types if it is used properly

21. The following steps for wall search are listed out of sequence. Write the letters a-g on your paper, then write the number next to each step to indicate the right sequence, 1 for the first step, 2 for the second step, and so forth.

_______ a. Secure the suspect's position for search.
_______ b. Conduct the search on the right side of the suspect and keep any contraband or weapons you have found in proper places.
_______ c. Settle the suspect's position for the search.
_______ d. Establish your position for searching the right side.
_______ e. Conduct the search on the left side of the suspect and keep your findings in proper places.
_______ f. Remove the arrestee from the scene.
_______ g. Handcuff the arrestee.

22. Where should an officer keep the findings when he/she searches the suspect?

   a. in a brown bag with the suspect's name and address, type and date of crime, and the officer's name on it
   b. in a corresponding position on the officer's body
   c. in the trunk of a law enforcement vehicle
   d. in a see-through plastic bag

23. List **five** rules for handcuffing.

Check your answers with the correct ones provided in the answer key.

Practical Exercise (I: D-4)

1. Ask your instructor about simulating an arrest.
2. Given a suspect subject and all necessary supplies, arrest, search, and handcuff the suspect in the simulated situation.
3. Discuss your performance with your instructor and refine it as necessary.

CAUTION: This exercise must be done in the presence of your instructor. Your instructor should limit the search and handcuffing parts of this exercise based upon your school policy.

If you feel confident that you have achieved the performance objectives for this section, ask your instructor for the posttest (I: D-4).

Block I: Law Enforcement System
Unit D: Law Enforcement Operations
Section 5: Stop and Frisk

Ask your instructor for the pretest for this section (I: D-5). After you complete the pretest, your instructor will let you know whether to study this section or to take the posttest.

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Introduction

The stop and frisk search involves a police officer who encounters a citizen in a public place and decides, on some reasonable basis, that the citizen might be committing or planning to commit a crime. Based on the United States Supreme Court decision in Terry v. Ohio, law enforcement officers have the legal right and duty to stop a citizen, request identification, and inquire about the person's business.

In this section, you will learn the proper methods and techniques utilized in a stop and frisk situation.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the level of probable cause required to justify a stop and frisk search.
2. Identify influencing factors in the stop and frisk procedures.
3. Identify guidelines to follow during a frisk search.
4. Identify in order the steps of frisk procedures for both male and female suspects.

Performance Objectives

Given a subject playing the role of a suspect, you will stop and search the person for a weapon. You must use the stop and frisk method. Your performance will be rated "A" (acceptable) on the tasks listed below.

1. requiring the subject to take proper stance
2. checking the hair and collar, using pen, pencil, etc.
3. checking the body area in the following sequence:
   a. shoulders and armpits
   b. both arms
   c. shirtfront/chest area
   d. waistband
   e. buttocks
   f. both legs
   g. abdomen/crotch area
4. removing all weapons

Frisk Search

A frisk is a **cursory** search of a suspicious person for weapons large enough to be detected through clothing. The legal standard for conducting a frisk is that the officer must have a **reasonable suspicion that a crime has been or is about to be committed and that the suspect is armed.** This search can be conducted quietly and inoffensively wherever the need arises.

It should be noted that a frisk is **not** a field search. It is designed **only** to protect the officer from possible harm and to aid the officer in locating weapons that may be hidden on the person's body.

Probable Cause and Other Factors Affecting Stop and Frisk

The level of probable cause required to justify a stop and frisk search is very low. However, there must be some reasonable basis for the officer to decide to stop a particular person.

The mere fact that an officer feels he/she should stop a person does **not** necessarily justify a frisking. **There must be something specific about the person's appearance or behavior that suggests criminal behavior.** Considering such factors, a frisk could be justified.

Considerations During a Frisk Search

The officer stopping a citizen must keep the following guidelines in mind when conducting a frisk search:

- The search must always be systematic and orderly. **When steps are missed, the search is most likely to be a failure.**
- The search must be done with great care and attention on the part of the officer.
- Do not be excessively rough or abusive. **Do not** embarrass the person unnecessarily.
- Frisking is limited to the **outer** clothing.
  NOTE: If the officer feels something that might be a weapon, he/she may reach into or under the clothing and withdraw the object.
- Normally, male officers should only frisk male citizens and female officers should only search females. However, if the need arises, and there are no backup officers of the appropriate gender, the frisk should be carried out.

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cursory: rapidly and often superficially performed.

- Any evidence found during the frisk can be seized and could possibly serve as probable cause for an arrest and a more thorough search.

- You cannot subject a person to a complete search while being frisked. That is, you cannot make the person empty pockets, open a purse or briefcase, or submit to a complete personal search.

Frisk Procedures

The following are general procedures for conducting a frisk.

STEP 1: **Position.** In preparation for the frisk search, the officer should require the individual to stand with his/her feet apart and arms extended as in Figure D-5-1.

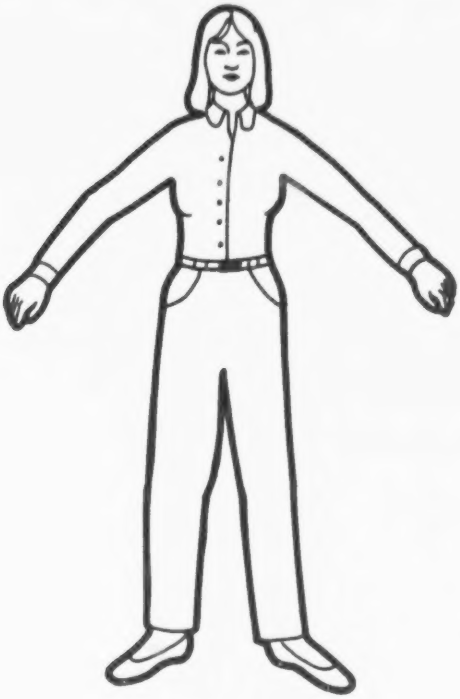

Figure D-5-1
Frisk Search Position

STEP 2: **Hair and collar.** Check the hair and collar by probing with a pencil, pen, etc. This must be done in a careful and thorough manner.

STEP 3: **Shoulder and armpits.** After checking the collar area, move hands downward over the shoulders and under the armpits as shown below (Figure D-5-2).

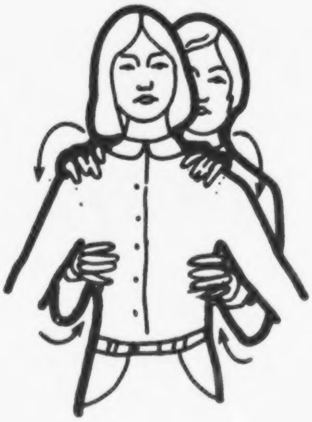

Figure D-5-2
Checking the Shoulder Area

STEP 4: **Back.** Using both hands, move them across and down the back of the suspect. Pay particular attention to the small of the back just above the beltline (see Figure D-5-3).

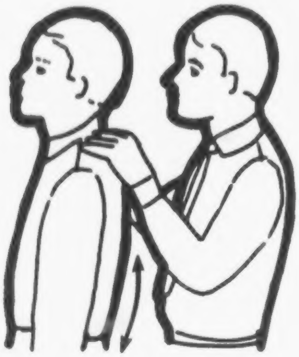

Figure D-5-3
Checking the Back

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STEP 5: **Arms.** Using both hands, move them down each arm. Items such as small knives, razors, etc. can be located in this fashion. Finish by checking the armpit area (Figure D-5-4).

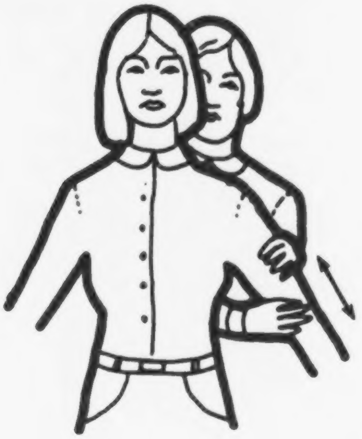

Figure D-5-4
Checking the Arms

STEP 6: **Chest area and pockets.** Males: Run hands down the shirt front, checking any pockets. Stop at the beltline (Figure D-5-5). Females: Run hands over the breasts, feeling under and between them for concealed weapons (Figure D-5-6).

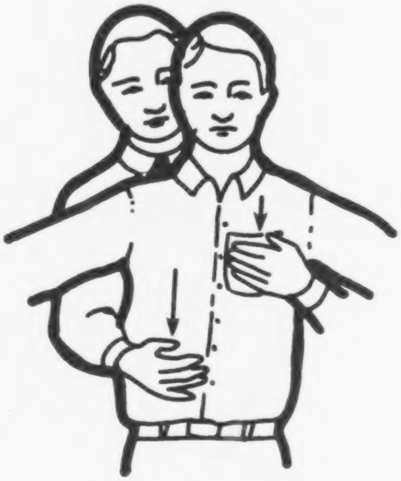

Figure D-5-5
Checking the Shirt Front (Male)

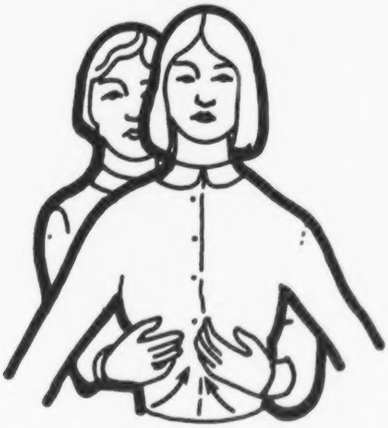

Figure D-5-6
Checking the Dress Front (Female)

Continue to run hands down the front, checking any pockets. Stop at the beltline (Figure D-5-7).

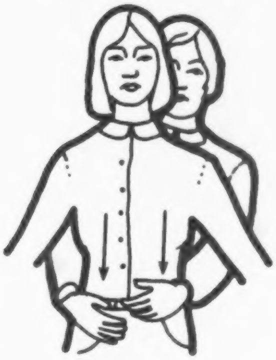

Figure D-5-7
Checking the Pocket (Female)

STEP 7: **Waistline.** Run fingers around the inside of the waistband to check for items (Figure D-5-8)

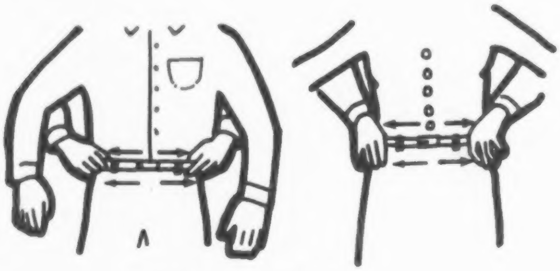

Figure D-5-8
Checking the Waistband

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STEP 8: **Buttocks.** From the waistline, the officer then runs his/her hands down the suspect's buttocks (Figure D-5-9).

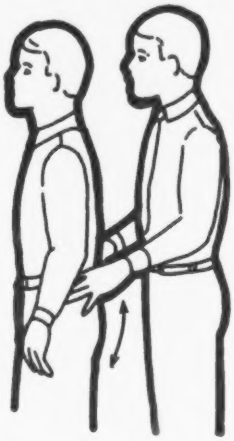


Figure D-5-9
Checking the Buttocks Area

STEP 9: **Legs.** After checking the buttocks area, the officer carefully moves both hands down one leg and then back up. He/she carefully checks for concealed items around the ankles. If the suspect is wearing a skirt, the officer should not lift the skirt but should simply feel through the material (Figure D-5-10).

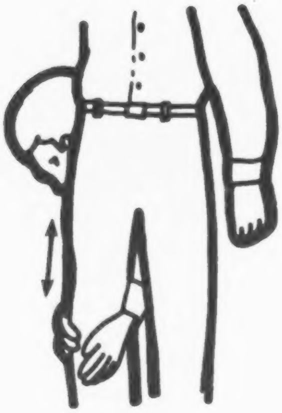


Figure D-5-10
Checking the Legs

STEP 10: **Abdomen and crotch.** As the last step, the officer should run his/her hands over the suspect's abdomen and crotch area carefully (Figure D-5-11).

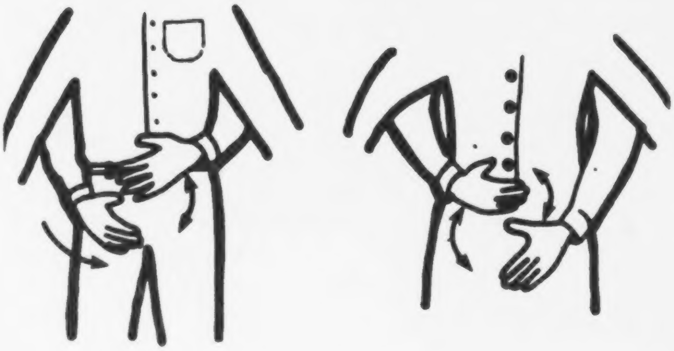


Figure D-5-11
Checking the Abdomen Area

Summary

The frisk is designed to protect the officer from possible harm. It is not a field search. It is a limited search for easily obtainable weapons. Any evidence found during the proper execution of the frisk may be seized and could serve as the basis for the person's arrest and a more thorough search. It must be conducted in a systematic and orderly manner.

Now complete the review questions beginning on the next page.

Review Questions (I: D-5)

Write your answers on a separate sheet of paper.

1. The legal standard required to justify an officer in stopping a civilian and conducting a frisk search is:

   a. a search warrant.
   b. any questionable behavior by a citizen.
   c. a warrantless search.
   d. a reasonable suspicion that a crime has been or is going to be committed, and the suspect is armed.

2. Factors that justify a decision for conducting a frisk search are: (Choose **all** correct answers.)

   a. race.
   b. behavior.
   c. public places.
   d. appearance.

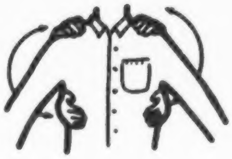
3. All of the following are guidelines to follow during a frisk search **except:**

   a. conducting a frisk search in any sequence.
   b. limiting the frisk to the outer clothing.
   c. not requiring a person to completely empty his/her pockets during a frisk search.
   d. doing the search with great care and attention.

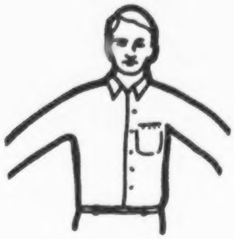
4. A suspect's hair is searched by:

   a. probing with fingers.
   b. probing with baton.
   c. probing with pen or pencil.
   d. having suspect comb hair.

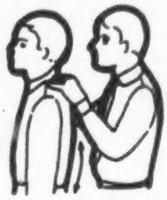
5. Eight of the ten steps for frisk searching males are pictured below. Write the letters a-h on your paper and write the number next to each letter to indicate the appropriate sequence for frisk searching.



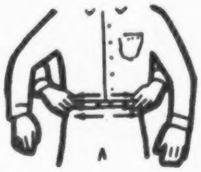
a. ____



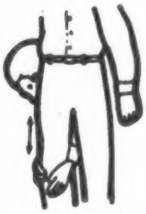
b. ____



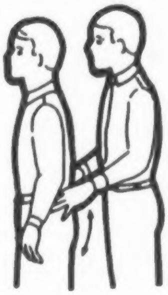
c. ____



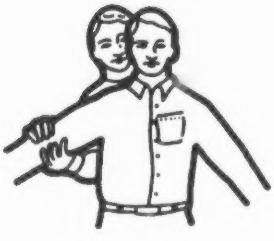
d. ____



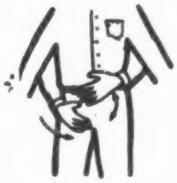
e. ____



f. ____

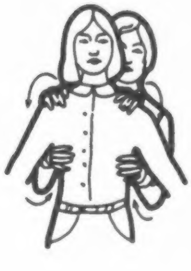


g. ____

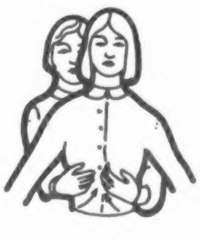


h. ____

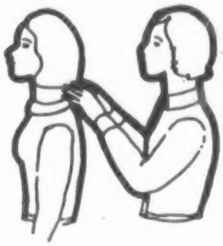
6. Eight of the ten steps for frisk searching females are pictured below. Write the letters a-h on your paper and write the number next to each letter to indicate the appropriate sequence for frisk searching.



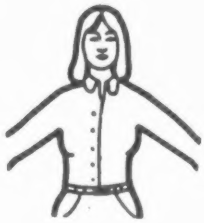
a. ____



b. ____

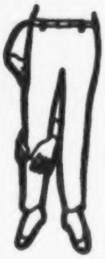


c. ____

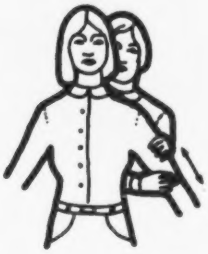


d. ____

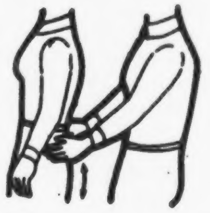
(continued on the next page)



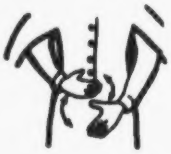
e. ____



f. ____



g. ____



h. ____

Check your answers with the correct ones provided in the answer key.

Practical Exercise (I: D-5)

1. Pair up with another student.
2. Take turns being the suspect and law enforcement officer.
3. While being the subject, hide a "weapon" on your person for the officer to find.
4. Practice the stop and frisk procedures.
5. Discuss the level of probable cause that justified the stop and frisk procedures.

   NOTE: Weapons used should be toy weapons.

   CAUTION: This exercise must be done in the presence of your instructor. Some portions of this exercise must be limited based upon the school policy.

If you feel confident that you have achieved the performance objectives for this section, ask your instructor for the posttest (I: D-5).

Block I: Law Enforcement System
Unit E: Report Writing

Ask your instructor for the pretest for this unit (I-E). After you complete the pretest, your instructor will let you know whether to study this unit or to take the posttest.

Introduction

A law enforcement report is **a record of the activities and findings of law enforcement officers.** It is the method by which you, as an officer, communicate your findings and activities to all interested persons. Your reports help your supervisor evaluate your performance as a law enforcement officer because they reveal your education, training, experience, initiative, and resourcefulness. Therefore, the reports are of personal value as well as a matter of record.

Since the report is a permanent record providing a complete picture of a crime or an accident, **it serves as a tool for the court system, insurance companies, defense attorneys, and prosecutors who need information about the incident.** The report also can be used in planning the law enforcement budget, deploying personnel, and keeping the community informed about activities of the law enforcement agency.

In this section, we will discuss the functions of the law enforcement report and how it is developed through (1) preparing, (2) writing, and (3) reviewing the finished report.

Objectives

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Define or identify five basic functions of a law enforcement report.
2. Given hypothetical cases, identify which type of report would be written for each case.
3. Identify basic information to be included in the report (six basic questions); given fictitious reports, identify the types of basic information the report contains.
4. Identify supplementary materials that could be included in the report.
5. Identify three mottos for good report writing.
6. Identify how to prepare for a report, how to write a good report, and how to review a draft of the report.
7. Given a sample report containing errors, identify which principles of report writing have been violated.
8. Given a sample report containing errors, identify and correct grammatical and other errors.

Performance Objectives

Upon completion of this unit, you should be able to develop an investigation report using the proper format when given sufficient crime data, a dictionary, and necessary forms. Reports will be evaluated according to the following requirements, and performance should be rated "A" (acceptable) for all criteria listed below:

1. The report contains fact sheet, body, list of names, list of physical evidence, and supplementary materials.
2. The fact sheet contains the case number, data and type of incident, names of principal people involved, their addresses and phone numbers, and name of officer who prepared the report.
3. The body of the report includes information about these six questions: WHO, WHAT, WHERE, WHEN, HOW, and WHY.

4. The body of the report is:

   - complete
   - objective
   - clear
   - accurate
   - concise
   - legible.

5. The report is written with correct grammar and English usage:

   - Spelling is correct.

   - Medical and legal terms are **not** included.

   - Capitalization is correct.

   - Numbers are written correctly.

   - Only widely accepted abbreviations are used.

   - Sentences are short, simple, and direct.

6. The report is easy to read. (It should be printed or typed.)

7. All physical evidence is described in the report.

8. Supplementary materials (sketch maps, diagrams, or photos) helpful in understanding the case and its report are included as needed.

9. The report was turned in on time.

Functions of the Report

The primary purpose or function of a law enforcement report is to provide a record of the officer's activities, observations, and findings as well as the outcomes of these activities. The report becomes a permanent official record and a reference point for anyone concerned about an officer's role in a given case. However, the law enforcement report also serves such functions as:

- a summary of information pertinent to the case
- a communications aid to other officers
- an aid to the planning division of law enforcement central offices
- an aid to prosecutors, defense attorneys, and insurance companies.

Summary of Information Pertinent to the Case

By including **pertinent** information, the report becomes:

- a word picture of an investigation, beginning with a complaint, order, offense, or arrest
- the permanent record of the case
- the basic legal reference to the case
- the basis for evaluating what has been done in the case
- the basis for deciding further action in the case
- the basis for prosecution of the suspect(s) involved in the case
- "the case" itself.

Communications Aid

The investigation report is also the method by which an officer communicates his/her activities to those interested in them. It enables:

- the officer's colleagues to know his/her actions and findings
- a superior officer to keep track of the various activities and investigations of junior officers under him/her
- law enforcement officials to know the types of crimes being committed and the manner in which they are carried out
- a superior officer to determine possible connections among various cases from the findings of his/her personnel
- a superior officer to offer advice and make suggestions for further investigation or subsequent handling of the case.

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pertinent: highly significant.

Aid to Central Offices

The central office of a law enforcement agency can tabulate information from various officers' written reports that will help the agency's planning division carry out the following activities:

- complete a crime picture of the city or county
- complete the crime picture of a particular area within the city or county
- deploy personnel and equipment in keeping with the crime picture at a given time
- concentrate personnel in an area showing a rise in a particular type of offense
- alert personnel for signs of unidentified perpetrators' **modus operandi** (M.O.) in a series of offenses
- plan the law enforcement budget
- determine distribution of funds within the department
- determine long-range planning for the department to meet changing crime conditions
- point out the training needs of personnel
- determine strengths and weaknesses of the department and develop training programs to eliminate these weaknesses
- use the report as a basis for law enforcement agency plans and actions of which the reporting officer may be totally unaware.

In addition, the reports can be used to keep the public informed of problems and accomplishments in law enforcement. Such information often becomes the basis for public support of the law enforcement agency.

Aid to Prosecutors, Defense Attorneys, and Insurance Companies

If the investigation report goes to the office of the prosecutor, he/she will depend on facts in the report to determine if there is sufficient evidence to prosecute. It is the basis upon which action can be taken in the courtroom. The prosecutor must rely on the report for answers to these questions:

- Who was the victim?

- What evidence is available for prosecution?

- What witnesses should be subpoenaed?

- What might the defense be?

- What strategy should be used to counteract the defense?

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modus operandi: a distinct pattern or method of procedure thought to be characteristic of an individual criminal and habitually followed by him/her.

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The report also helps defense attorneys and insurance companies find out exactly what happened concerning the incident, even a long time after it has occurred.

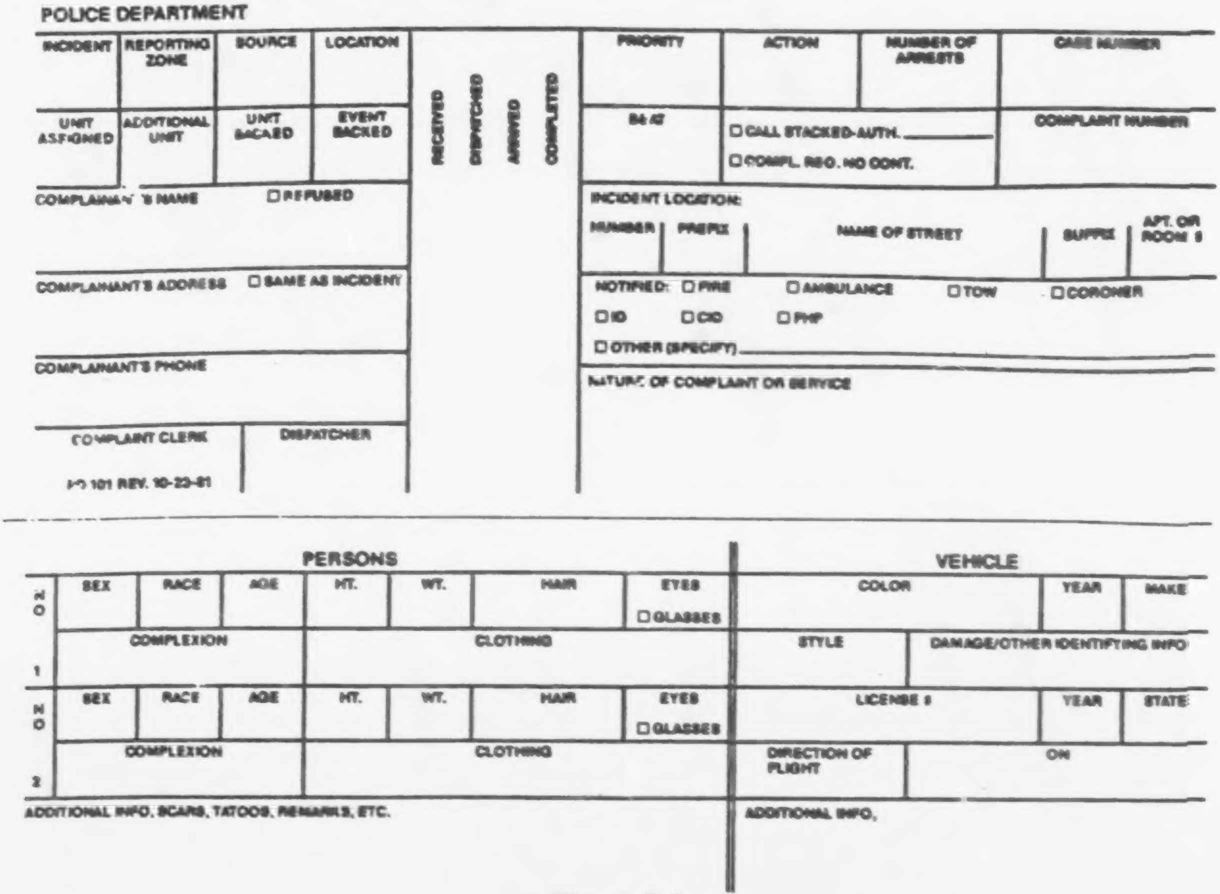
When to Prepare the Report

Now that we know what the law enforcement report is, let's discuss when the report is prepared.

Generally, a law enforcement officer needs to prepare reports on most of the incidents he/she covers. However, there are four basic situations which always require a report:

- complaint
- offense
- accident
- investigation

A **complaint report card** is completed when anyone requests law enforcement actions. Usually it is a simple complaint form as shown in Figure E-1. However, depending upon the nature of the incident, it may become the basis for a lengthy offense report for use in future court proceedings.



POLICE DEPARTMENT

INCIDENT	REPORTING ZONE	SOURCE	LOCATION	RECEIVED	DISPATCHED	ARRIVED	COMPLETED	PRIORITY	ACTION	NUMBER OF ARRESTS	CASE NUMBER
UNIT ASSIGNED	ADDITIONAL UNIT	UNIT BACKED	EVENT BACKED					84 47	☐ CALL STACKED-AUTH. ______ ☐ COMPL. REQ. NO CONT.		COMPLAINT NUMBER

COMPLAINANT'S NAME ☐ REFUSED

COMPLAINANT'S ADDRESS ☐ SAME AS INCIDENT

COMPLAINANT'S PHONE

COMPLAINT CLERK	DISPATCHER

PD 101 REV. 10-23-81

INCIDENT LOCATION:

NUMBER	PREFIX	NAME OF STREET	SUFFIX	APT. OR ROOM #

NOTIFIED: ☐ FIRE ☐ AMBULANCE ☐ TOW ☐ CORONER

☐ ID ☐ CID ☐ PHP

☐ OTHER (SPECIFY) ______

NATURE OF COMPLAINT OR SERVICE

PERSONS

NO 1	SEX	RACE	AGE	HT.	WT.	HAIR	EYES ☐ GLASSES
	COMPLEXION			CLOTHING			
NO 2	SEX	RACE	AGE	HT.	WT.	HAIR	EYES ☐ GLASSES
	COMPLEXION			CLOTHING			

ADDITIONAL INFO, SCARS, TATOOS, REMARKS, ETC.

VEHICLE

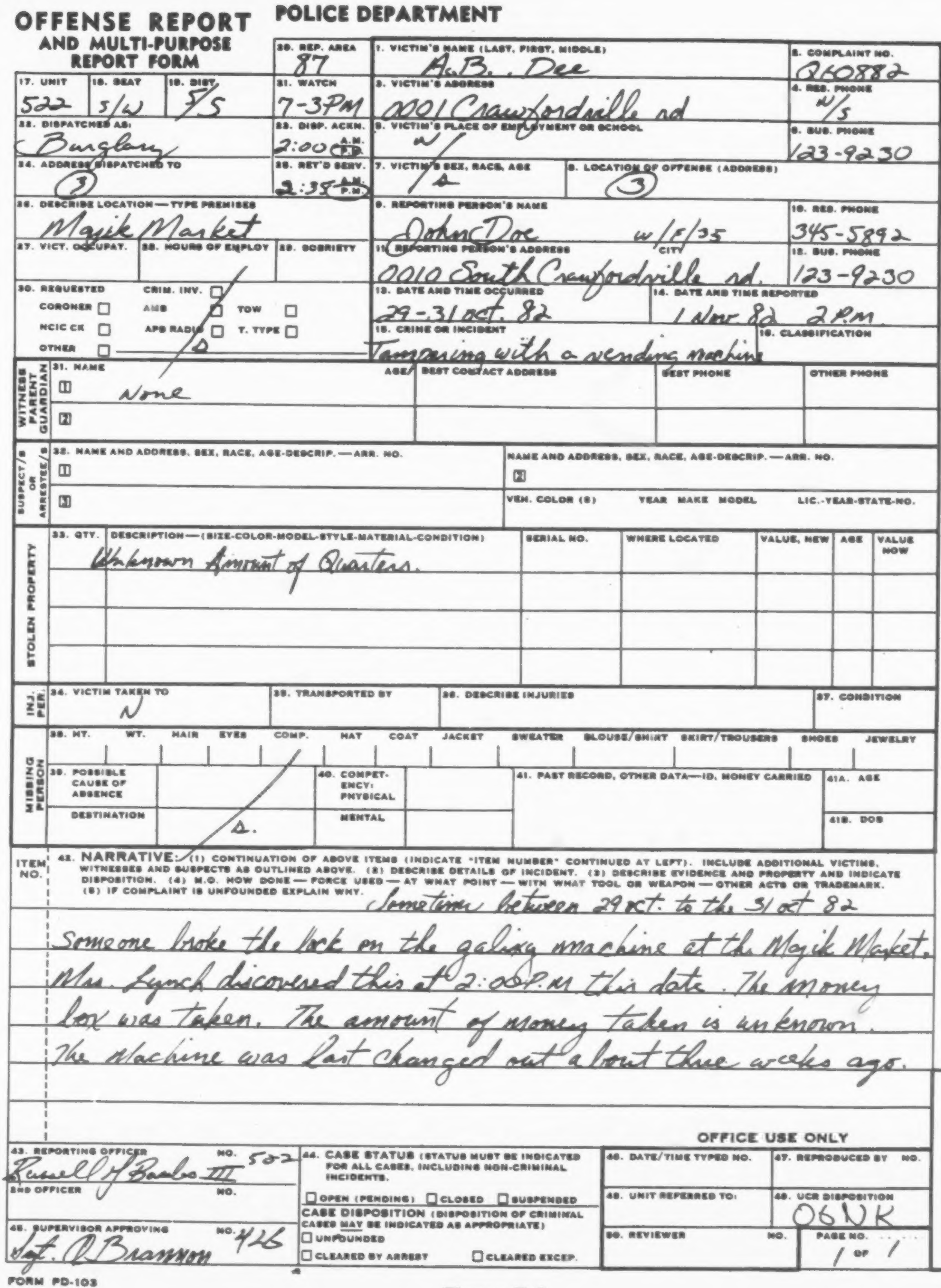
COLOR	YEAR	MAKE
STYLE	DAMAGE/OTHER IDENTIFYING INFO	
LICENSE #	YEAR	STATE
DIRECTION OF FLIGHT	ON	

ADDITIONAL INFO,

Figure E-1
A Sample Complaint Card

An **offense report** is completed for an incident which requires official law enforcement action. This may be a one-page report form with a brief narrative or a completed report form with a detailed supplemental written report on the following pages (see Figures E-2 and E-3).

An **accident report** is completed when a traffic accident occurs (see Figure E-4 which follows for examples and traffic accident report codes).



OFFENSE REPORT AND MULTI-PURPOSE REPORT FORM

POLICE DEPARTMENT

20. REP. AREA: 87
1. VICTIM'S NAME (LAST, FIRST, MIDDLE): A.B. Dee
2. COMPLAINT NO.: Q60882
17. UNIT: 522
18. BEAT: 5/W
19. DIST.: 5/S
21. WATCH: 7-3PM
3. VICTIM'S ADDRESS: 0001 Crawfordville rd
4. RES. PHONE: N/S
22. DISPATCHED AS: Burglary
23. DISP. ACKN.: 2:00 A.M. [✓ P.M.]
5. VICTIM'S PLACE OF EMPLOYMENT OR SCHOOL: N/
6. BUS. PHONE: 123-9230
24. ADDRESS DISPATCHED TO: (3)
25. RET'D SERV.: 2:35 A.M. [✓ P.M.]
7. VICTIM'S SEX, RACE, AGE: /Δ
8. LOCATION OF OFFENSE (ADDRESS): (3)
26. DESCRIBE LOCATION—TYPE PREMISES: Majik Market
9. REPORTING PERSON'S NAME: John Doe w/f/35
10. RES. PHONE: 345-5892
27. VICT. OCCUPAT.:
28. HOURS OF EMPLOY:
29. SOBRIETY:
11. REPORTING PERSON'S ADDRESS: 0010 South Crawfordville rd. CITY
12. BUS. PHONE: 123-9230
30. REQUESTED: CRIM. INV. ☐ CORONER ☐ AMB ☐ TOW ☐ NCIC CK ☐ APB RADIO ☐ T. TYPE ☐ OTHER ☐ /Δ
13. DATE AND TIME OCCURRED: 29-31 oct. 82
14. DATE AND TIME REPORTED: 1 Nov 82 2 P.M
15. CRIME OR INCIDENT: Tampering with a vending machine
16. CLASSIFICATION:

WITNESS PARENT GUARDIAN

31. NAME	AGE	BEST CONTACT ADDRESS	BEST PHONE	OTHER PHONE
1 None				
2				

SUSPECT/S OR ARRESTEE/S

32. NAME AND ADDRESS, SEX, RACE, AGE-DESCRIP.—ARR. NO.
1
3
NAME AND ADDRESS, SEX, RACE, AGE-DESCRIP.—ARR. NO.
2
VEH. COLOR (S) YEAR MAKE MODEL LIC.-YEAR-STATE-NO.

STOLEN PROPERTY

33. QTY.	DESCRIPTION—(SIZE-COLOR-MODEL-STYLE-MATERIAL-CONDITION)	SERIAL NO.	WHERE LOCATED	VALUE, NEW	AGE	VALUE NOW
	Unknown Amount of Quarters.					

INJ. PER.

34. VICTIM TAKEN TO: N
35. TRANSPORTED BY:
36. DESCRIBE INJURIES:
37. CONDITION:

MISSING PERSON

38. HT. WT. HAIR EYES COMP. HAT COAT JACKET SWEATER BLOUSE/SHIRT SKIRT/TROUSERS SHOES JEWELRY
39. POSSIBLE CAUSE OF ABSENCE:
DESTINATION: /Δ.
40. COMPETENCY: PHYSICAL: MENTAL:
41. PAST RECORD, OTHER DATA—ID, MONEY CARRIED:
41A. AGE:
41B. DOB:

ITEM NO.

42. NARRATIVE: (1) CONTINUATION OF ABOVE ITEMS (INDICATE "ITEM NUMBER" CONTINUED AT LEFT). INCLUDE ADDITIONAL VICTIMS, WITNESSES AND SUSPECTS AS OUTLINED ABOVE. (2) DESCRIBE DETAILS OF INCIDENT. (3) DESCRIBE EVIDENCE AND PROPERTY AND INDICATE DISPOSITION. (4) M.O. HOW DONE — FORCE USED — AT WHAT POINT — WITH WHAT TOOL OR WEAPON — OTHER ACTS OR TRADEMARK. (5) IF COMPLAINT IS UNFOUNDED EXPLAIN WHY.

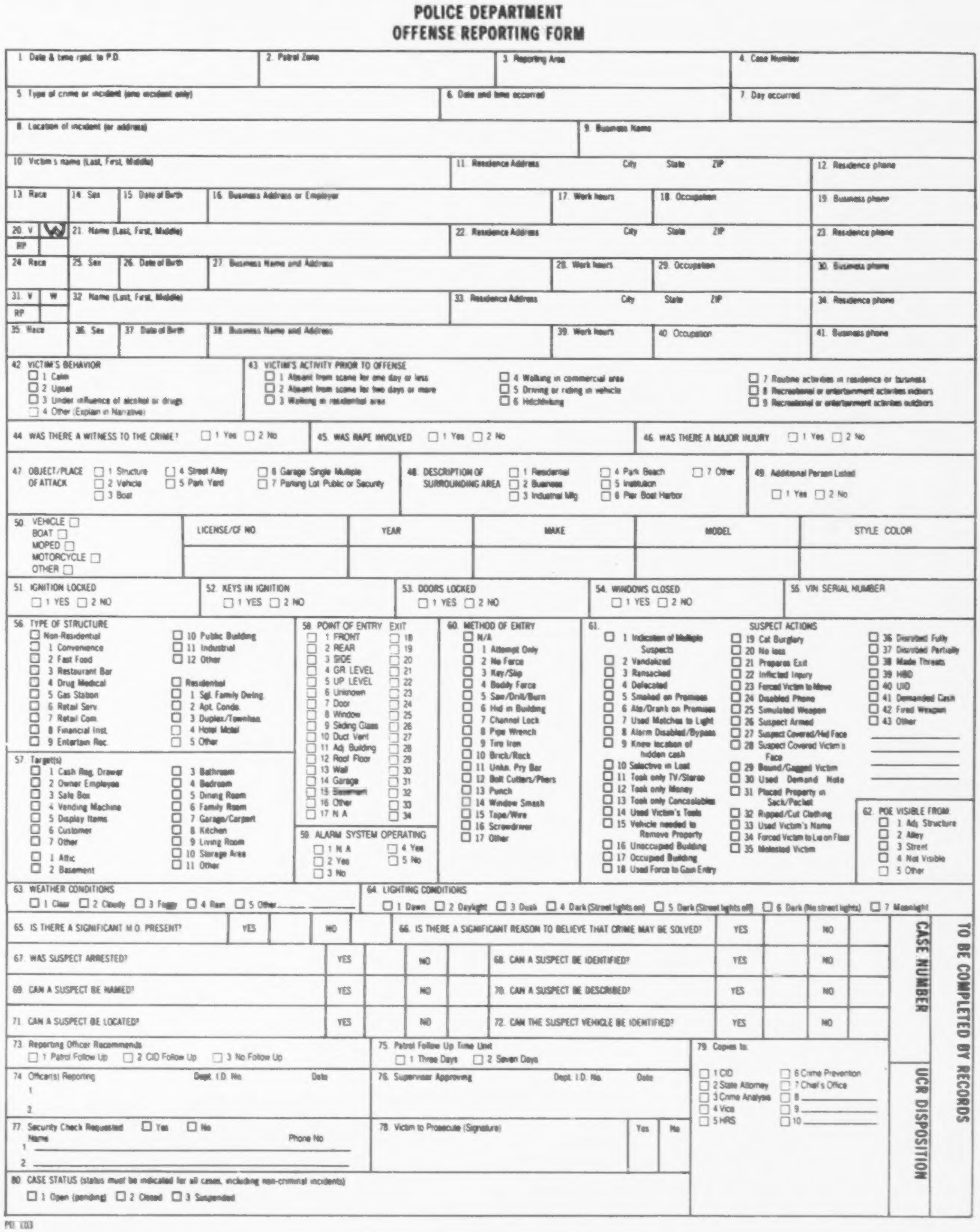
Sometime between 29 oct. to the 31 oct 82 Someone broke the lock on the galaxy machine at the Majik Market. Mrs. Lynch discovered this at 2:00 P.M this date. The money box was taken. The amount of money taken is unknown. The machine was last changed out about three weeks ago.

OFFICE USE ONLY

43. REPORTING OFFICER: Russell J Bambo III NO. 522
2ND OFFICER: NO.
45. SUPERVISOR APPROVING: Sgt. O Brannon NO. 426
44. CASE STATUS (STATUS MUST BE INDICATED FOR ALL CASES, INCLUDING NON-CRIMINAL INCIDENTS.
☐ OPEN (PENDING) ☐ CLOSED ☐ SUSPENDED
CASE DISPOSITION (DISPOSITION OF CRIMINAL CASES MAY BE INDICATED AS APPROPRIATE)
☐ UNFOUNDED
☐ CLEARED BY ARREST ☐ CLEARED EXCEP.
46. DATE/TIME TYPED NO.:
47. REPRODUCED BY NO.:
48. UNIT REFERRED TO:
49. UCR DISPOSITION: 06NK
50. REVIEWER NO.:
PAGE NO. 1 OF 1
51. COMPLAINT NO.

FORM PD-103

Figure E-2
A Sample Offense Report



POLICE DEPARTMENT
OFFENSE REPORTING FORM

1. Date & time rptd. to P.D.
2. Patrol Zone
3. Reporting Area
4. Case Number
5. Type of crime or incident (one incident only)
6. Date and time occurred
7. Day occurred
8. Location of incident (or address)
9. Business Name
10. Victim's name (Last, First, Middle)
11. Residence Address City State ZIP
12. Residence phone
13. Race
14. Sex
15. Date of Birth
16. Business Address or Employer
17. Work hours
18. Occupation
19. Business phone
20. V W RP
21. Name (Last, First, Middle)
22. Residence Address City State ZIP
23. Residence phone
24. Race
25. Sex
26. Date of Birth
27. Business Name and Address
28. Work hours
29. Occupation
30. Business phone
31. V W RP
32. Name (Last, First, Middle)
33. Residence Address City State ZIP
34. Residence phone
35. Race
36. Sex
37. Date of Birth
38. Business Name and Address
39. Work hours
40. Occupation
41. Business phone

42. VICTIM'S BEHAVIOR
☐ 1 Calm
☐ 2 Upset
☐ 3 Under influence of alcohol or drugs
☐ 4 Other (Explain in Narrative)

43. VICTIM'S ACTIVITY PRIOR TO OFFENSE
☐ 1 Absent from scene for one day or less
☐ 2 Absent from scene for two days or more
☐ 3 Walking in residential area
☐ 4 Walking in commercial area
☐ 5 Driving or riding in vehicle
☐ 6 Hitchhiking
☐ 7 Routine activities in residence or business
☐ 8 Recreational or entertainment activities indoors
☐ 9 Recreational or entertainment activities outdoors

44. WAS THERE A WITNESS TO THE CRIME? ☐ 1 Yes ☐ 2 No
45. WAS RAPE INVOLVED ☐ 1 Yes ☐ 2 No
46. WAS THERE A MAJOR INJURY ☐ 1 Yes ☐ 2 No

47. OBJECT/PLACE OF ATTACK
☐ 1 Structure
☐ 2 Vehicle
☐ 3 Boat
☐ 4 Street Alley
☐ 5 Park Yard
☐ 6 Garage Single Multiple
☐ 7 Parking Lot Public or Security

48. DESCRIPTION OF SURROUNDING AREA
☐ 1 Residential
☐ 2 Business
☐ 3 Industrial Mfg
☐ 4 Park Beach
☐ 5 Institution
☐ 6 Pier Boat Harbor
☐ 7 Other

49. Additional Person Listed ☐ 1 Yes ☐ 2 No

50. VEHICLE ☐ BOAT ☐ MOPED ☐ MOTORCYCLE ☐ OTHER ☐

LICENSE/CF NO.	YEAR	MAKE	MODEL	STYLE COLOR

51. IGNITION LOCKED ☐ 1 YES ☐ 2 NO
52. KEYS IN IGNITION ☐ 1 YES ☐ 2 NO
53. DOORS LOCKED ☐ 1 YES ☐ 2 NO
54. WINDOWS CLOSED ☐ 1 YES ☐ 2 NO
55. VIN SERIAL NUMBER

56. TYPE OF STRUCTURE
☐ Non-Residential
☐ 1 Convenience
☐ 2 Fast Food
☐ 3 Restaurant Bar
☐ 4 Drug Medical
☐ 5 Gas Station
☐ 6 Retail Serv.
☐ 7 Retail Com.
☐ 8 Financial Inst.
☐ 9 Entertain Rec.
☐ 10 Public Building
☐ 11 Industrial
☐ 12 Other
☐ Residential
☐ 1 Sgl. Family Dwlng.
☐ 2 Apt. Condo.
☐ 3 Duplex/Townhse.
☐ 4 Hotel Motel
☐ 5 Other

57. Target(s)
☐ 1 Cash Reg. Drawer
☐ 2 Owner Employee
☐ 3 Safe Box
☐ 4 Vending Machine
☐ 5 Display Items
☐ 6 Customer
☐ 7 Other
☐ 1 Attic
☐ 2 Basement
☐ 3 Bathroom
☐ 4 Bedroom
☐ 5 Dining Room
☐ 6 Family Room
☐ 7 Garage/Carport
☐ 8 Kitchen
☐ 9 Living Room
☐ 10 Storage Area
☐ 11 Other

58. POINT OF ENTRY EXIT
☐ 1 FRONT ☐ 18
☐ 2 REAR ☐ 19
☐ 3 SIDE ☐ 20
☐ 4 GR LEVEL ☐ 21
☐ 5 UP LEVEL ☐ 22
☐ 6 Unknown ☐ 23
☐ 7 Door ☐ 24
☐ 8 Window ☐ 25
☐ 9 Sliding Glass ☐ 26
☐ 10 Duct Vent ☐ 27
☐ 11 Adj. Building ☐ 28
☐ 12 Roof Floor ☐ 29
☐ 13 Wall ☐ 30
☐ 14 Garage ☐ 31
☐ 15 Basement ☐ 32
☐ 16 Other ☐ 33
☐ 17 N A ☐ 34

59. ALARM SYSTEM OPERATING
☐ 1 N A
☐ 2 Yes
☐ 3 No
☐ 4 Yes
☐ 5 No

60. METHOD OF ENTRY
☐ N/A
☐ 1 Attempt Only
☐ 2 No Force
☐ 3 Key/Slip
☐ 4 Bodily Force
☐ 5 Saw/Drill/Burn
☐ 6 Hid in Building
☐ 7 Channel Lock
☐ 8 Pipe Wrench
☐ 9 Tire Iron
☐ 10 Brick/Rock
☐ 11 Unkn. Pry Bar
☐ 12 Bolt Cutters/Pliers
☐ 13 Punch
☐ 14 Window Smash
☐ 15 Tape/Wire
☐ 16 Screwdriver
☐ 17 Other

61. SUSPECT ACTIONS
☐ 1 Indication of Multiple Suspects
☐ 2 Vandalized
☐ 3 Ransacked
☐ 4 Defecated
☐ 5 Smoked on Premises
☐ 6 Ate/Drank on Premises
☐ 7 Used Matches to Light
☐ 8 Alarm Disabled/Bypass
☐ 9 Knew location of hidden cash
☐ 10 Selective in Loot
☐ 11 Took only TV/Stereo
☐ 12 Took only Money
☐ 13 Took only Concealables
☐ 14 Used Victim's Tools
☐ 15 Vehicle needed to Remove Property
☐ 16 Unoccupied Building
☐ 17 Occupied Building
☐ 18 Used Force to Gain Entry
☐ 19 Cat Burglary
☐ 20 No loss
☐ 21 Prepares Exit
☐ 22 Inflicted Injury
☐ 23 Forced Victim to Move
☐ 24 Disabled Phone
☐ 25 Simulated Weapon
☐ 26 Suspect Armed
☐ 27 Suspect Covered/Hid Face
☐ 28 Suspect Covered Victim's Face
☐ 29 Bound/Gagged Victim
☐ 30 Used Demand Note
☐ 31 Placed Property in Sack/Pocket
☐ 32 Ripped/Cut Clothing
☐ 33 Used Victim's Name
☐ 34 Forced Victim to Lie on Floor
☐ 35 Molested Victim
☐ 36 Disrobed Fully
☐ 37 Disrobed Partially
☐ 38 Made Threats
☐ 39 HBD
☐ 40 UID
☐ 41 Demanded Cash
☐ 42 Fired Weapon
☐ 43 Other

62. POE VISIBLE FROM
☐ 1 Adj. Structure
☐ 2 Alley
☐ 3 Street
☐ 4 Not Visible
☐ 5 Other

63. WEATHER CONDITIONS ☐ 1 Clear ☐ 2 Cloudy ☐ 3 Foggy ☐ 4 Rain ☐ 5 Other ______ ______

64. LIGHTING CONDITIONS ☐ 1 Dawn ☐ 2 Daylight ☐ 3 Dusk ☐ 4 Dark (Street lights on) ☐ 5 Dark (Street lights off) ☐ 6 Dark (No street lights) ☐ 7 Moonlight

65. IS THERE A SIGNIFICANT M.O. PRESENT?	YES		NO	
66. IS THERE A SIGNIFICANT REASON TO BELIEVE THAT CRIME MAY BE SOLVED?	YES		NO	
67. WAS SUSPECT ARRESTED?	YES		NO	
68. CAN A SUSPECT BE IDENTIFIED?	YES		NO	
69. CAN A SUSPECT BE NAMED?	YES		NO	
70. CAN A SUSPECT BE DESCRIBED?	YES		NO	
71. CAN A SUSPECT BE LOCATED?	YES		NO	
72. CAN THE SUSPECT VEHICLE BE IDENTIFIED?	YES		NO	

73. Reporting Officer Recommends ☐ 1 Patrol Follow Up ☐ 2 CID Follow Up ☐ 3 No Follow Up

74. Officer(s) Reporting Dept. I.D. No. Date
1
2

75. Patrol Follow Up Time Unit ☐ 1 Three Days ☐ 2 Seven Days

76. Supervisor Approving Dept. I.D. No. Date

77. Security Check Requested ☐ Yes ☐ No
Name Phone No.
1. ______________________________
2. ______________________________

78. Victim to Prosecute (Signature) Yes No

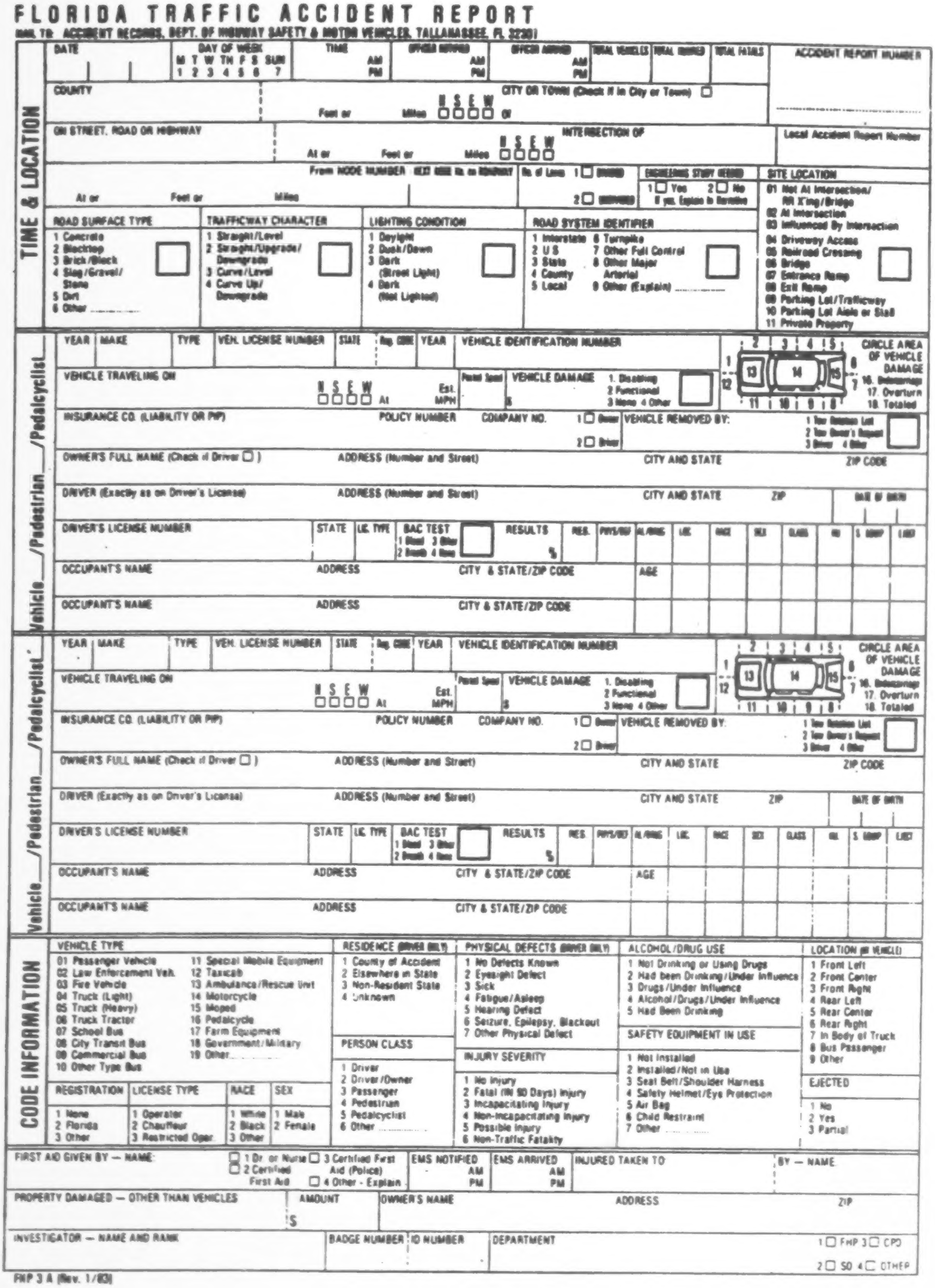
79. Copies to:
☐ 1 CID
☐ 2 State Attorney
☐ 3 Crime Analysis
☐ 4 Vice
☐ 5 HRS
☐ 6 Crime Prevention
☐ 7 Chief's Office
☐ 8 ______________
☐ 9 ______________
☐ 10 ______________

80. CASE STATUS (status must be indicated for all cases, including non-criminal incidents)
☐ 1 Open (pending) ☐ 2 Closed ☐ 3 Suspended

TO BE COMPLETED BY RECORDS
CASE NUMBER
UCR DISPOSITION

PD 103

Figure E-3
A Sample Offense Report Form



FLORIDA TRAFFIC ACCIDENT REPORT

MAIL TO: ACCIDENT RECORDS, DEPT. OF HIGHWAY SAFETY & MOTOR VEHICLES, TALLAHASSEE, FL 32301

TIME & LOCATION

DATE | DAY OF WEEK M T W TH F S SUN 1 2 3 4 5 6 7 | TIME AM PM | OFFICER NOTIFIED AM PM | OFFICER ARRIVED AM PM | TOTAL VEHICLES | TOTAL INJURED | TOTAL FATALS | ACCIDENT REPORT NUMBER

COUNTY | Feet or Miles N S E W ☐☐☐☐ of | CITY OR TOWN (Check if in City or Town) ☐

ON STREET, ROAD OR HIGHWAY | At or Feet or Miles N S E W ☐☐☐☐ | INTERSECTION OF | Local Accident Report Number

At or Feet or Miles | From NODE NUMBER | [illegible] | No. of Lanes 1☐ [illegible] 2☐ [illegible] | ENGINEERING STUDY NEEDED 1☐ Yes 2☐ No If yes, Explain In Narrative

ROAD SURFACE TYPE ☐
1 Concrete
2 Blacktop
3 Brick/Block
4 Slag/Gravel/Stone
5 Dirt
6 Other ....

TRAFFICWAY CHARACTER ☐
1 Straight/Level
2 Straight/Upgrade/Downgrade
3 Curve/Level
4 Curve Up/Downgrade

LIGHTING CONDITION ☐
1 Daylight
2 Dusk/Dawn
3 Dark (Street Light)
4 Dark (Not Lighted)

ROAD SYSTEM IDENTIFIER ☐
1 Interstate
2 U S
3 State
4 County
5 Local
6 Turnpike
7 Other Full Control
8 Other Major Arterial
9 Other (Explain) ....

SITE LOCATION ☐
01 Not At Intersection/RR X'ing/Bridge
02 At Intersection
03 Influenced By Intersection
04 Driveway Access
05 Railroad Crossing
06 Bridge
07 Entrance Ramp
08 Exit Ramp
09 Parking Lot/Trafficway
10 Parking Lot Aisle or Stall
11 Private Property

Vehicle___/Pedestrian___/Pedalcyclist___

YEAR | MAKE | TYPE | VEH. LICENSE NUMBER | STATE | Reg. CODE | YEAR | VEHICLE IDENTIFICATION NUMBER

VEHICLE TRAVELING ON N S E W ☐☐☐☐ At | Est. MPH | Posted Speed | VEHICLE DAMAGE $ | 1. Disabling 2 Functional 3 None 4 Other ☐

CIRCLE AREA OF VEHICLE DAMAGE
1 2 3 4 5 6 7 8 9 10 11 12 13 14 15
16. Undercarriage
17. Overturn
18. Totaled

INSURANCE CO. (LIABILITY OR PIP) | POLICY NUMBER | COMPANY NO. | 1☐ Owner 2☐ Driver | VEHICLE REMOVED BY: | 1 Tow Rotation List 2 Tow Owner's Request 3 Driver 4 Other ☐

OWNER'S FULL NAME (Check if Driver ☐) | ADDRESS (Number and Street) | CITY AND STATE | ZIP CODE

DRIVER (Exactly as on Driver's License) | ADDRESS (Number and Street) | CITY AND STATE | ZIP | DATE OF BIRTH

DRIVER'S LICENSE NUMBER | STATE | LIC. TYPE | BAC TEST 1 Blood 3 Other 2 Breath 4 None ☐ | RESULTS % | RES. | PHYS/DEF | AL/DRUG | LIC. | RACE | SEX | CLASS | INJ. | S. EQUIP. | EJECT.

OCCUPANT'S NAME | ADDRESS | CITY & STATE/ZIP CODE | AGE

OCCUPANT'S NAME | ADDRESS | CITY & STATE/ZIP CODE

Vehicle___/Pedestrian___/Pedalcyclist___

YEAR | MAKE | TYPE | VEH. LICENSE NUMBER | STATE | Reg. CODE | YEAR | VEHICLE IDENTIFICATION NUMBER

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DRIVER'S LICENSE NUMBER | STATE | LIC. TYPE | BAC TEST 1 Blood 3 Other 2 Breath 4 None ☐ | RESULTS % | RES. | PHYS/DEF | AL/DRUG | LIC. | RACE | SEX | CLASS | INJ. | S. EQUIP. | EJECT.

OCCUPANT'S NAME | ADDRESS | CITY & STATE/ZIP CODE | AGE

OCCUPANT'S NAME | ADDRESS | CITY & STATE/ZIP CODE

CODE INFORMATION

VEHICLE TYPE
01 Passenger Vehicle
02 Law Enforcement Veh.
03 Fire Vehicle
04 Truck (Light)
05 Truck (Heavy)
06 Truck Tractor
07 School Bus
08 City Transit Bus
09 Commercial Bus
10 Other Type Bus
11 Special Mobile Equipment
12 Taxicab
13 Ambulance/Rescue Unit
14 Motorcycle
15 Moped
16 Pedalcycle
17 Farm Equipment
18 Government/Military
19 Other..........

REGISTRATION
1 None
2 Florida
3 Other

LICENSE TYPE
1 Operator
2 Chauffeur
3 Restricted Oper.

RACE
1 White
2 Black
3 Other

SEX
1 Male
2 Female

RESIDENCE (DRIVER ONLY)
1 County of Accident
2 Elsewhere in State
3 Non-Resident State
4 Unknown

PERSON CLASS
1 Driver
2 Driver/Owner
3 Passenger
4 Pedestrian
5 Pedalcyclist
6 Other ....

PHYSICAL DEFECTS (DRIVER ONLY)
1 No Defects Known
2 Eyesight Defect
3 Sick
4 Fatigue/Asleep
5 Hearing Defect
6 Seizure, Epilepsy, Blackout
7 Other Physical Defect

INJURY SEVERITY
1 No Injury
2 Fatal (IN 90 Days) Injury
3 Incapacitating Injury
4 Non-Incapacitating Injury
5 Possible Injury
6 Non-Traffic Fatality

ALCOHOL/DRUG USE
1 Not Drinking or Using Drugs
2 Had been Drinking/Under Influence
3 Drugs/Under Influence
4 Alcohol/Drugs/Under Influence
5 Had Been Drinking

SAFETY EQUIPMENT IN USE
1 Not Installed
2 Installed/Not in Use
3 Seat Belt/Shoulder Harness
4 Safety Helmet/Eye Protection
5 Air Bag
6 Child Restraint
7 Other ....

LOCATION (IN VEHICLE)
1 Front Left
2 Front Center
3 Front Right
4 Rear Left
5 Rear Center
6 Rear Right
7 In Body of Truck
8 Bus Passenger
9 Other

EJECTED
1 No
2 Yes
3 Partial

FIRST AID GIVEN BY — NAME: | ☐ 1 Dr. or Nurse ☐ 2 Certified First Aid ☐ 3 Certified First Aid (Police) ☐ 4 Other - Explain | EMS NOTIFIED AM PM | EMS ARRIVED AM PM | INJURED TAKEN TO | BY — NAME

PROPERTY DAMAGED — OTHER THAN VEHICLES | AMOUNT $ | OWNER'S NAME | ADDRESS | ZIP

INVESTIGATOR — NAME AND RANK | BADGE NUMBER | ID NUMBER | DEPARTMENT | 1☐ FHP 3☐ CPD 2☐ SO 4☐ OTHER

FHP 3 A (Rev. 1/83)

Figure E-4
A Sample Traffic Accident Form

An **investigation report** is prepared when an incident, such as murder or rape, requires investigation. The officer assigned to investigate the case and each officer having information about it will write such a report. An investigation report may cover both complaint and offense types of cases.

Usually an investigation report is prepared in two stages: **field notes** and **final report.** The officer writes field notes during interviews with suspects, victims, and witnesses, and during observation of the crime or accident scene. Therefore, field notes can be used to refresh an officer's recollection when he/she testifies in court.

The **final report** should be typed or printed and should include any necessary supplemental materials. Law enforcement colleagues, supervisors, probation officers, district attorneys, defense attorneys, general public, and news media personnel may all read the report. The final report can guide law enforcement personnel in handling the case. They may also weigh the quality of the report when they consider the officer's suitability for advancement. Attorneys in both civil and criminal cases have the right to examine both field notes and final reports. If these documents have information gaps or contain mistakes, defense attorneys may use such carelessness to their advantage when the officer gets on the witness stand.

Information Needed for a Report

We have discussed the major functions of the report and when it is required. Next let's discuss what kind of information we should include in the report.

The nature of the incident determines the kind of information included in a report. Some incidents require simple complaint forms while other cases require lengthy investigation reports. Whatever type of report you are writing, be sure to include answers to the **six basic questions** listed below.

1. **Who** was involved?

2. **What** happened?

3. **When** did it happen?

4. **Where** did it happen?

5. **How** did it happen?

6. **Why** did it happen?

The answers to these six questions are vital to the law enforcement report. Since these answers constitute the elements of the case, the report presents an incomplete picture of the occurrence if it lacks this information. To make your written information more clear and accurate, you may want to attach **sketch maps, diagrams,** and **photographs.**

Types of information needed for a report and supplementary items are outlined below.

1. **Who** involves the following questions:
   - Who is the victim?
   - Who is the suspect?
   - Who is the witness?
   - Who reported the incident?
2. **What happened** involves the following questions:
   - What took place?
   - What offense was committed?
   - What were the elements of the offense?
   - What was the object of the attack?
3. **When did it happen** involves the following questions:
   - At what hour did it occur?
   - On what day did it occur?
   - In what month did it occur?
   - In what year did it occur?
   - Was it day or night?
   - Was it clear, cloudy, foggy, misty, raining, smoggy, snowing, hailing, etc.?
4. **Where did it happen** involves the following questions:
   - Where did the offense occur?
   - Over what area did the offense extend?
   - Where was the object of the offense when it occurred?
   - Where was the object of the offense found?
   - Where is the object of the offense now?
   - Where was the perpetrator of the offense?
   - Where was the suspect when apprehended?
   - Where is the suspect now?

- Where were the witnesses in relation to the crime scene?

- Where are the witnesses now?

Diagrams, sketches, plans, and photographs should be used to supplement visual observations and verbal descriptions.

5. **How did it happen** involves the following questions:

   - How was the offense committed?

     What preparation was made to commit the offense?
     How did the offender enter the crime scene?
     How did the offender leave the crime scene?
     What was done to avoid detection?

   - How was the person or property attacked?

     What method was used to induce the victim to give up his/her property?
     What means were used to overcome the victim's resistance?
     What instruments were used in the perpetration of the offense?

   - How did the offender act?

     What method of approach did s(he) use?

   - How did the victim act?

     What did the victim do in response to the actions of the perpetrator?

   - How did the situation contribute to the commission of the offense?

   The **HOW** section of the report will furnish the investigating officer with the modus operandi (method of operation or M.O.) of the criminal. Without the **HOW** section of the report there would be no case for the prosecution.

6. **Why did it happen** could be the hardest question to answer in a criminal investigation. These are the types of problems you may need to solve:

   - Why did the suspects and witnesses do certain things?

   - Why did the suspect adopt a particular M.O.?

   - Why was the crime reported?

   - Why was this victim chosen?

   - Why did the witness tell some particular lie?

Answers to **WHY** questions are rarely apparent at first. Even when the answers seem obvious, they may be wrong. You can never be absolutely sure you know the true motives behind the actions of suspects and witnesses. Nevertheless, **WHY** questions are well worth asking. In fact, the habit of asking them is one thing that distinguishes the expert investigator from the novice.

7. **Supplementary items** such as these may help in the case evaluation.

   - properly labeled sketch maps and diagrams
   - exact location of each movable object with relevant measurements
   - photographs of the crime scene, including physical evidence, from various angles
   - photographs of individual pieces of physical evidence

Summary

The major functions of a law enforcement report are to serve as:

- a written report of the officer's activities
- a summary of information on the case
- a communication aid to other officers
- an aid to the central office's planning division
- an aid to the prosecutor.

The four types of report, which are based upon the kind of case involved, are as follows:

- complaint report
- offense report
- arrest report
- investigation report

The information required mainly depends upon the specific purpose of the report. However, every report should include the information needed to answer the six basic questions:

- Who was involved?

- What happened?

- When did it happen?

- Where did it happen?

- How did it happen?

- Why did it happen?

In addition, supplementary items such as sketch maps, diagrams, and photographs should be included in the report.

NOTE: Discuss with your instructor and your classmates realistic cases for which each of the four types of report should be written.

Now complete the review questions beginning on the next page.

Review Questions (I: E-a)

Write your answers on a separate sheet of paper.

1. List the **five** functions of the law enforcement report.

For questions 2-5, write the letter(s) of all correct answers on your paper.

2. By including information pertinent to the case, the investigation report can be:

   a. the basic reference to the case.
   b. the basis for prosecution.
   c. a complete crime picture of the city.
   d. the basis for deciding further action in the case.

3. The investigation report is a communication aid because it enables its readers:

   a. to know the types of crimes being committed and the manner in which they are committed.
   b. to know the activities and discoveries of the officer who prepared the report.
   c. to keep track of the various activities and findings of each officer.
   d. to know what the prosecutor will say in court.

4. By collecting information from the various reports written by law enforcement officers, a central office can give the planning division the following aids:

   a. advice to the officers who prepared the reports
   b. indication of the training needs of personnel
   c. advice on deployment of personnel and equipment in keeping with the crime picture at a given time
   d. aid in planning the law enforcement budget

5. Usually the prosecutor depends on the investigation report to obtain and/or decide the following:

   a. what evidence is available for prosecution
   b. who was the victim (or victims)
   c. what the defense might be
   d. what strategy to use to counteract the defense

6. Suppose a pickup truck ran into a station wagon at an intersection. If this accident is reported to you, what kind of report would you write?

   a. complaint report
   b. offense report
   c. accident report
   d. investigation report

7. Suppose you get a telephone call from a lady asking you to stop the loud music and boisterous noise coming from her neighbor's house. What type of report would you write for this incident?

   a. complaint report
   b. offense report
   c. accident report
   d. investigation report

8. Suppose a telephone call informs you that there is a body, slightly decomposed, in a wooded area near the police department where you work. What type of report would you complete **first**?

   a. complaint report
   b. offense report
   c. accident report
   d. investigation report

9. If the investigation of the case given in question 8 is assigned to Officer B and you have some reliable information about the case, who should write the investigation report?

   a. Officer B only
   b. you only
   c. you and Officer B
   d. the person who made the telephone call

10. Suppose you are working as an off-duty police officer in a store where a shoplifting incident has just occurred, and you apprehend the suspect. What type of report would you write?

    a. complaint report
    b. offense report
    c. accident report
    d. investigation report

11. Usually an investigation report is prepared in what two stages? (List them on your paper.)

12. Who are likely readers of your final reports?

    a. colleagues and supervisor
    b. general public
    c. news media personnel
    d. probation officers

13. The content of the investigation report should include answers to the six basic questions. List these **six** questions on your paper.

14. List **three** supplementary items you may need to include in your final report.

Check your answers with the correct ones provided in the answer key.

Writing a Report

Although you may need to write a wide variety of reports, you should prepare them all with these three mottos in mind: **Get It All, Make It Clear, and Get It Right.**

You can "get it all" if you answer the six key questions. You can "make it clear" if you write it with the audience in mind and follow the guidelines provided in this section. And you can "get it right" by checking and double-checking every item in your notes and reports.

In other words, you should **prepare** well to "get it all," **write** the report well to "make it clear," and **review** it well to make sure you "got it right."

Preparing for Report Writing

Before you begin to write a report, you should follow the general guidelines listed below:

1. Keep in mind the **purpose** of the report: to inform the reader of certain activities and their outcomes.

2. Know your **audience**. They may be:

   - members of a law enforcement agency
   - probation officers
   - members of the district attorney's office
   - the general public
   - representatives of the news media.

3. **Collect information** from field notes and other sources. You should include the following:

   WHO—people involved

   - full name
   - age and date of birth
   - complete address for both home and work
   - complete telephone numbers for both home and work
   - complete description of person(s) involved

   WHERE—places involved
   When recording information on buildings or locations, give the full address and a description of the building.

   WHEN—occurrence and discovery
   Give the time and date of the incident and the time the offense was discovered.

WHAT—description of the violation

- what took place (the rear door locked and jimmied, the glass window broken, etc.)
- what was taken, describing items stolen in as much detail as possible
- value of the missing items

HOW—exact description of method used

- Example: The rear screen door was cut in the lower right hand corner and the screen was folded back. The lock was smashed by a series of blows with some heavy object. Six deep dents were observed just above the lock.

- Be as clear as possible in describing the **modus operandi** of any case.

WHY—reasons for the crime

- The reason something happened is probably the most difficult item to determine. Reasons are sometimes revealed only after the suspect is apprehended.

4. **Organize** the information into appropriate sections and under the proper headings for the report.

5. **Analyze** the information and your findings.

6. **Check** all information for accuracy, completeness, brevity, and fairness in content.

   Remember the three mottos of good report writing **Get It All, Make It Clear, Get It Right.**

Starting to Write

After preparing all the information and supplementary materials for your report, you are ready to write. The following are some composition guidelines that will help you.

Basic Principles of Report Writing

In order to write a **valid** report and to get your message across, you should consider all of the following six principles. Lacking any of these, you will not have a valid, acceptable report. (If you are not sure of the meanings of these words, check a dictionary.)

---

valid: acceptable under the law.

- accuracy
- completeness
- conciseness
- objectivity
- clarity (correct language)
- legibility

In order to write an accurate, complete, concise, and objective report, you should:

1. be simple and direct

2. be pertinent and deal with the facts

3. be brief (concise)

    - Don't be repetitious.
    - Include only those matters that pertain to the case.

4. be complete

5. be current, giving the date and time of the incident

6. be accurate

    - Give a true written picture of the incident.
    - Don't allow personal feelings to enter into your report.
    - Be truthful and factual.
    - Don't jump to conclusions. The obvious answer is not always right.

7. keep in mind who will read the report

    - Write your report at an appropriate reading level for your audience.

The following outline of basic composition standards will help you write a clearly-worded report.

Language

1. Spell correctly.

    - If you cannot spell a word, look it up in the dictionary.
    - Remember, simple words make the best report language.

2. Use a word rather than a sentence or phrase if one word can describe an item accurately.

3. Do not use medical or legal terms.

    - Misused medical or legal terms may become binding.
    - You may make a mistake in intent and look foolish in court.

Capitals, Numbers, and Abbreviations

1. Capitalize:

   - all proper names of persons, places, and organizations
   - the first letter of each sentence
   - titles, such as Captain, Professor, Reverend, etc.
   - trade names of products, sections of the country, and days of the week.

2. Numbers:

   - Clarify written-out numbers with numerals, for example: five (5).
   - Use dollar and percent signs ($ and %).
   - Place decimal points in the correct position.
   - Spell out all fractions that stand alone, for example: one-half, one-third.

3. Abbreviations:

   - Use them with extreme care since they can be misinterpreted or you may forget what they mean.
   - Use only widely accepted abbreviations such as Mr., Dr.
   - Use abbreviations for identification of criminals when filling in standard law enforcement forms.

Sentences and Paragraphs

1. Use short, simple, and concise sentences.

2. Underline key words or print them in capitals. This lets a reader skim through your report and pick out specific items of interest.

3. Put only one idea in a paragraph. A paragraph that needs more than six sentences is probably too complex.

4. When in doubt, start a new paragraph.

5. Short sentences are usually easy to understand. If one of yours contains more than 20 words, read it over to be sure it is clear.

   For **legibility**, you must type or print your report. (**REMEMBER:** WRITE IT FOR THE READER.) Your final report will be read by other members of the criminal justice system. A note or a report that cannot be clearly understood is worthless or misleading. Train yourself to write with the reader in mind.

Completing the Final Report

Once you have finished writing a final report, it will become a case file for the incident you have reported. There are certain items which usually are included in the case file, although the arrangement of these items varies widely from one agency to another. Therefore, when completing the final report, you should make sure that all items necessary for a case file are included. The main items in a case file are grouped into five categories as follows:

1. **Fact Sheet** (Information Sheet)

These sheets identify the incident by showing the case number, date, type of incident, names of the main people involved, and name of the reporting officer. Sometimes a brief synopsis of the facts and a note on the status of the case are included.

2. **Body of the Report**

This gives a more complete statement of the facts and supplies all **available** answers to the six key questions: who, what, where, when, how, and why. Even though "why" questions are difficult to answer, expert investigators have learned they are worth the effort.

3. **List of Names**

This list provides full names of all the people involved, their home and business addresses and telephone numbers, and other characteristics pertinent to the incident.

4. **List of Evidence**

This list itemizes all physical evidence relevant to the incident.

5. **Diagrams and Photographs**

Copies of all sketch maps, diagrams, and photographs should be included in the case file. If there are many, you may want to make a list and indicate the items by reference number or letter as shown below:

Attachment A. sketch map of crime scene
Attachment B. photo of the same crime scene from doorway
Attachment C. photo of the scene looking due north

Reviewing the Report

In order to "get it all," you gathered all information and supplementary materials during the preparation stage. In order to "make it clear," you wrote the report with the reader in mind and followed the writing guidelines. Now, after compiling and writing the report, you should review it to make sure you have "gotten it right." You should read your final report several times for thorough editing.

First reading.

Check content of the report for "who," "what," "when," "where," "how," and "why" in relation to:

- sound reasoning
- facts
- sufficient information
- whether facts need interpretation.

Second reading.

Check for clarity and logic.

Third reading.

Check for proper spelling, sentence structure, grammar and legibility. Even the most careful and experienced writers make mistakes. That is why publishers need editors. Ordinarily, you must be your own editor. However, when a report is sufficiently long and involved to justify writing a rough draft, ask your supervisor or another officer to edit it before you make the final copy. Another person may catch errors you have overlooked.

Summary

Three basic mottos of good report writing are: Get It All, Make It Clear, and Get It Right. In order to achieve these three goals, you should (1) prepare well by collecting and organizing all necessary information, (2) write well with the reader in mind and use writing guidelines, and (3) review the report thoroughly.

Now complete the review questions beginning on the next page.

Review Questions (I: E-b)

Write your answers on a separate sheet of paper.

1. List the **three** mottos for good report writing.

2. Prior to writing your report, you should ______, ______, analyze, and ______ all necessary information, which should include the answers to the six basic questions.

3. Before and while you are writing an investigation report, you should keep your ______ in mind.

4. In order to make your report clear, you should consider six principles of good composition when writing the report. List these **six** principles.

5. In writing your report **briefly**, which **one** of the following is **not** a guideline to be followed?

   a. Be simple and direct.
   b. Do not repeat.
   c. Include only information about the case.
   d. Use only short words.

6. In writing your report **accurately**, which **one** of the following is **not** a guideline to be followed?

   a. Do not describe your feelings about the case.
   b. Use your common sense when writing about something you have not seen or heard.
   c. Describe the case, scene, and people involved in complete detail.
   d. Do not jump to conclusions.

7. Suppose the following paragraph is part of an investigation report:

   > "When I arrived at the accident scene the jerk who hit the car which belonged to a poor old lady had gone already. About 1/4 of the car seemed to be damaged."

   Which **one** of the following principles has been correctly followed?

   a. legibility
   b. objectivity
   c. conciseness
   d. punctuation and number

8. As a rule, you may want to have about ______ sentences in a paragraph and up to ______ words in a sentence.

9. List **five** common items of a case file.

10. Which item of the final report identifies the incident by showing the case number, the name of the reporting officer, and so forth?

    a. fact sheet
    b. body
    c. list of names
    d. list of evidence

11. If you want to write a brief note on the status of the case, where would you write it?

    a. fact sheet
    b. body
    c. descriptions of evidence
    d. supplementary items

12. In which part of the final report would you include information on the six basic questions?

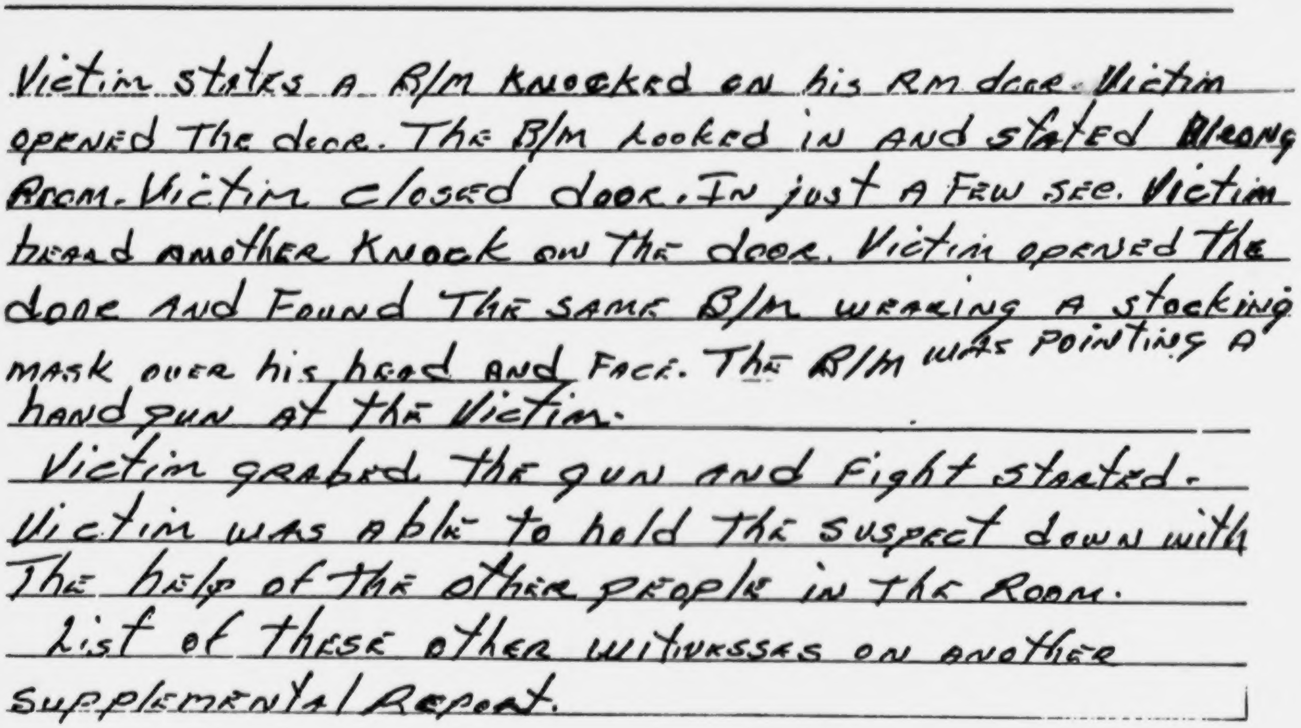
    a. fact sheet
    b. body
    c. description of evidence
    d. supplementary items

13. When you review the final report, you should check which of the items listed below? (Choose **all** correct answers.)

    a. clarity and logic
    b. spelling, grammar, and sentence structure
    c. content for six basic questions
    d. legibility

14. In the sample report shown on the following page, which of these general principles of report writing is violated?

    a. legibility
    b. accuracy
    c. objectivity
    d. conciseness



Victim states a B/M knocked on his RM door. Victim opened the door. The B/M looked in and stated wrong room. Victim closed door. In just a few sec. Victim heard another knock on the door. Victim opened the dore and found the same B/M wearing a stocking mask over his head and face. The B/M was pointing a hand gun at the victim.

Victim grabed the gun and fight started. Victim was able to hold the suspect down with the help of the other people in the room.

List of these other witnesses on another supplemental Report.

15. The example given above contains (a) a grammatical error and a spelling error, and (b) an error in report writing principles. List all **three** errors.

Check your answers with the correct ones provided in the answer key.

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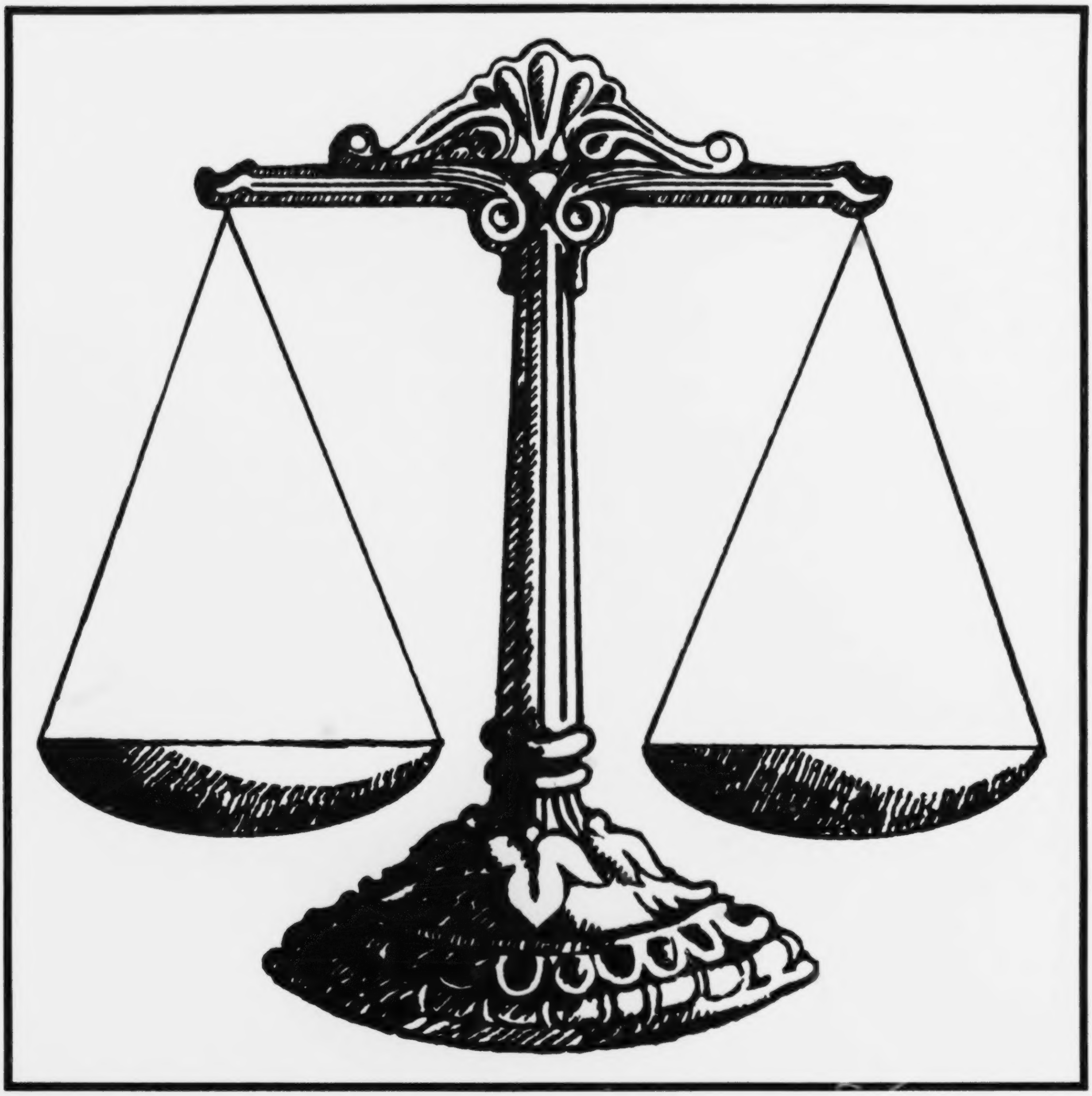
Practical Exercise (I: E)

1. Ask your instructor for an offense report form and a traffic accident form your county is using. (Instead, you may want to use the forms included in this Student Guide as examples.)
2. Make up hypothetical cases with fictitious data for an accident and a crime. You may want to discuss this activity with your instructor and classmates.
3. Write a traffic accident report, an offense report, and an investigation report.
4. Discuss your work with your instructor and classmates.

If you feel confident that you have achieved the performance objectives for this unit, ask your instructor for the posttest (I: E).

Student Guide **Block II**

THE COURTS



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Block II: The Courts
Unit A: U. S. Court System
Section 1: Federal Courts

Ask your instructor for the pretest for this section (II: A-1). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

This unit will describe the organization and function of the federal, state, and local court systems.

This first section of Unit A, Federal Courts, will present the design, organization, and philosophy of the **federal** court system. We will study the basic assumptions upon which the court system is founded, its constitutional background, the various types of courts, and how these courts form the structure of the federal system.

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the document which provides for the establishment of a federal court system.
2. Identify by number the provision which states the duration of office for a federal judge.
3. Identify characteristics of trial and appellate courts, including geographical jurisdiction and procedures.
4. Identify the types of jurisdiction held by the three levels of federal courts.
5. Identify which court of appeals has jurisdiction in Florida federal cases.
6. Define the terms "original jurisdiction," "appellate jurisdiction," and "tyranny."
7. List at least three kinds of cases the Supreme Court chooses to hear.
8. List the two main responsibilities the Supreme Court must consider in making its decisions.

Philosophy of the Federal Court System

The federal court system was established by the Constitution as one of three separate but equal powers of government: legislative (making laws); executive (enforcing the laws); and judicial (interpreting the laws and judging disputes involving laws). The principle of checks and balances among governmental powers is strengthened by the fact that the Supreme Court has the authority to declare an act of Congress or a state law unconstitutional. The Constitution is considered the highest law of the land and protects the freedom of the individual.

Constitutional Provision

The provision for creation of the federal court system is found in Article III, Section 1 of the United States Constitution:

"The judicial power of the United States shall be vested in one supreme court, and in such inferior courts as the Congress may from time to time ordain and establish. The judges, both of the supreme and inferior courts, shall hold their offices during good behavior and shall, at stated times, receive for their services a compensation which shall not be diminished during their continuance in office."

The Supreme Court is the only **specific** court named in the Constitution. The others to be discussed in this topic, the United States District Courts and the United States Court of Appeals, were later established by acts of Congress. However, the Constitution does imply the establishment of a **federal system** by mentioning both a supreme court and inferior courts.

The provision in Article III, Section 1 that federal judges "hold their offices during good behavior" protects them from losing their positions when a new president is elected. The president does appoint federal judges, but only when vacancies occur. These appointments must be approved by Congress and are considered lifetime appointments. The separation of judicial from executive power is clearly provided for in this article.

Types of Courts

To aid in our discussion of the various court systems, let us make some distinctions and clarify some terms.

First, let's consider **trial** courts and **appellate** courts. The main difference between them is primarily function or role.

The **trial court is responsible for making the initial legal decision** of a criminal defendant's guilt or innocence. In this court the litigants (those involved in a lawsuit) and witnesses appear and give sworn statements. The trial court must establish whether the facts in a case are true. If the facts are in question or subject to different interpretations, a jury of citizens is called to make decisions concerning these facts. The judge decides any issues of law, such as what facts and evidence are admissable and can be considered by the jury in the case. A **trial court** thus has **original jurisdication**; that is, it is the first court to have **authority or power in a case.**

The other type of court, the **appellate court,** is called by that name because **it hears appeals**; it has the function of **reviewing the trial court case.** If the defendant in a trial has been found guilty, but feels s(he) has not been given a fair trial, s(he) may appeal to the appellate court. The appellate court then reviews the records from the first trial and decides whether the trial court decision should stand or be reversed. In some cases, the appellate court may order a new trial.

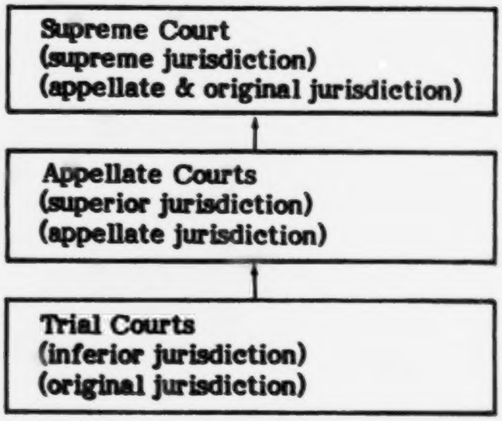
There is no jury in an appellate court, and all decisions are limited to errors of law or errors in procedure. This court does not consider conflicts in the interpretation of facts, although it confirms that facts presented to the jury in a trial court were sufficient to convict the accused. The defendant and witnesses also do not appear.

Not all cases are reviewed; the court considers only those where the convicted individual can show that the results of the trial are questionable. A harmless error will not automatically lead to a new trial. The judge reviews the official records of the trial court and hears oral arguments by attorneys, if required.

The appellate court has **appellate jurisdiction**, that is, **authority in cases being appealed.**

A second distinction in types of courts is between courts of **superior jurisdiction** and **inferior jurisdiction.** Usually, courts of superior jurisdiction are the appellate courts in a particular system. Article III of the Constitution, as quoted previously, provides for establishment of the Supreme Court and any inferior courts Congress deems necessary. The courts of inferior jurisdiction are the trial courts. The superior (or appellate) courts can override the decisions of the inferior (or trial) courts.

This diagram shows the relationship among the different courts and the kinds of jurisdictions each has.


Supreme Court
(supreme jurisdiction)
(appellate & original jurisdiction)
Appellate Courts
(superior jurisdiction)
(appellate jurisdiction)
Trial Courts
(inferior jurisdiction)
(original jurisdiction)

There are three levels of courts in the federal court system. These are:

1. the United States District Courts (inferior or original jurisdiction)
2. the United States Court of Appeals (superior or appellate jurisdiction)
3. the United States Supreme Court (supreme jurisdiction).

A case involving a significant issue may be passed upward through the courts by appeal from the District Court to the Court of Appeals and, finally, to the Supreme Court.

The process is initiated if a federal law has been violated. The defendant appears in the **United States District Court** in the state where the crime occurred. This court is the lowest of the federal courts and is the court of original jurisdiction for cases involving federal law, the Constitution, or citizens of different states. There are about 90 district courts, with at least one in each state. Florida has three district courts. One judge hears each case, and a jury may be called for the trial.

The next step for a case is the **United States Court of Appeals** (also called U. S. Circuit Court of Appeals). The Court of Appeals has appellate jurisdiction over cases from the United States District Courts in its areas. The Court of Appeals covers 11 geographical districts, or circuits. The most recently established circuit is the Eleventh, and it includes Florida, Georgia, and Alabama. (These states used to be included in the Fifth Circuit.) Cases in these courts are normally heard by a panel of at least two judges, but no jury is called. Since such cases often involve complex legal questions, the review process may take time.

The highest court in the federal system, and the final possible step for appeal in a case, is the **United States Supreme Court**. The Supreme Court is the only federal court which has both original and appellate jurisdiction. It has the largest geographical jurisdiction, since its rulings cover the entire country.

The Supreme Court is composed of nine judges, also called justices. The chief justice is elected by these justices and presides over the Court. Sandra Day O'Connor, the first woman to serve as a Supreme Court justice, was appointed to that post by the president and confirmed by the Senate in 1981.

In exercising original jurisdiction, the Supreme Court has the power to hear disputes involving two or more states, the federal government and one or more states, certain foreign diplomats, or a state and a foreign country. Most cases of original jurisdiction in recent years have been disputes between states. The Supreme Court may hear witnesses in cases of original jurisdiction.

Most cases come under the Supreme Court's appellate jurisdiction. These cases come either from the United States Court of Appeals or from the highest state courts (the state supreme courts).

The Supreme Court may receive 5,300 or more petitions (requests) to review cases each year, but it normally chooses to hear less than half. An appeals case will be accepted by the Supreme Court if at least four justices agree to hear it. If a petition is denied, the lower court decision in the case stands. Petitions accepted for review include four kinds of questions.

1. those involving a constitutional issue
2. those of great national importance
3. those where district courts made conflicting decisions
4. those involving an important private right

The Supreme Court then reviews the case records describing what happened in the trial and in the preceding appellate courts. Attorneys involved can make oral arguments to the Court. Witnesses, however, are not called when the Supreme Court is serving as appellate court, for the Court's decision is based solely on the evidence already presented in the lower courts. The justices then vote to change or uphold the decision of the previous court.

Supreme Court rulings are considered to be the correct interpretation of the law, and all are expected to abide by them. However, there are two ways Supreme Court decisions may be changed. First, a decision on a certain point may be **reversed later by the Court itself as society changes**. Second, an opinion of the Supreme Court may be **changed by the adoption of a new constitutional amendment**; this has occurred only four times in our history.

The two most important responsibilities of the Supreme Court and the federal court system are (1) to protect society from criminal activity and (2) to protect citizens from tyranny. **Tyranny** is the cruel and unjust use of force, power, or authority by a government.

As its first responsibility, the Supreme Court upholds the Constitution and interprets the laws of the land so that our society is stable and orderly. In the Constitution, citizens are guaranteed various rights, including life, liberty, and the pursuit of happiness. A society must remain safe and stable for its citizens to have those rights.

Laws have established the boundary between legal and criminal behavior so that citizens are legally protected from the harmful activity of others. If the court system works swiftly in trying the wrongdoer, society is protected in that an appropriate punishment discourages criminal behavior. The law does not allow citizens to take advantage of their freedom at the expense of others.

Protecting the individual from tyranny and the misuse of governmental authority is the second important responsibility of the federal court system. The individual's right to certain freedoms, especially those mentioned in the Bill of Rights, is further protected by the Supreme Court. When a case is brought before the Supreme Court which questions how a particular law affects the individual and whether or not the law agrees with the spirit of the Constitution, the Supreme Court can declare the law constitutional or unconstitutional. In addition, since citizens are guaranteed due process of law, the superior courts review lower court procedures to be sure the decisions made were just and unbiased. In contrast, consider countries with tyrannical governments where citizens have little protection against the whims of their rulers. A person may be declared a criminal for having "wrong" political or economic beliefs and may be punished without due process of law. Our court system is meant to safeguard the freedom of the individual from such tyranny.

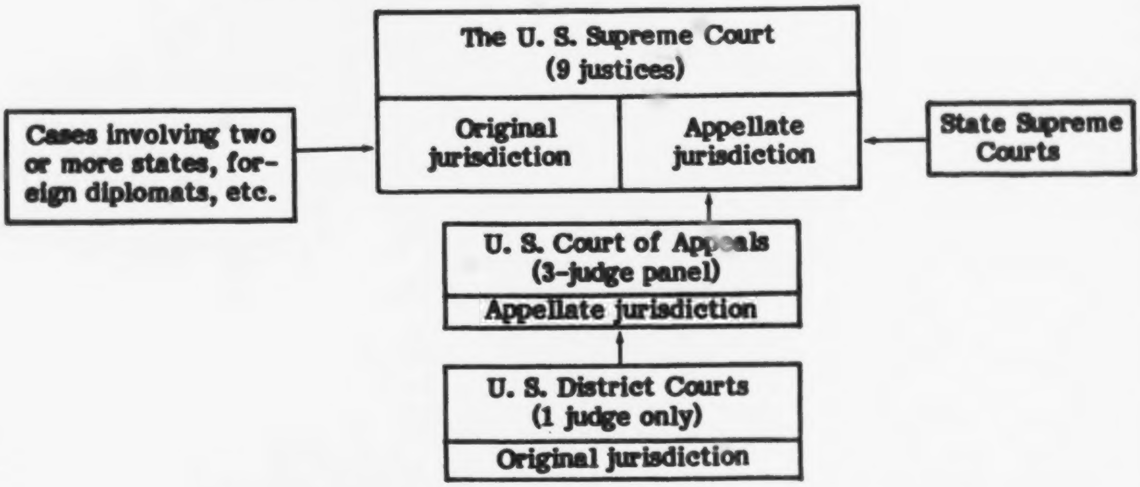
In recent years, the Supreme Court has been criticized for appearing to protect the rights of the accused at the expense of society's well-being. It is good to keep in mind, however, that the rights of all citizens are strengthened when appropriate legal procedures have been taken to punish lawbreakers.

Striking a balance between protecting the general public from crime and protecting the individual from tyrannical prosecution is a difficult but necessary obligation of the federal court system.

Summary

As we have seen, the Constitution, in Article III, Section 1, provides for the establishment of the federal court system. It also strengthens the concept of separation of powers by protecting federal judges from losing office when presidents change.

The following chart illustrates the hierarchy of the federal courts, the number of judges each requires in trying cases, and the type of jurisdiction each court has:


The U. S. Supreme Court
(9 justices)
Original jurisdiction
Appellate jurisdiction
Cases involving two or more states, foreign diplomats, etc.
State Supreme Courts
U. S. Court of Appeals
(3-judge panel)
Appellate jurisdiction
U. S. District Courts
(1 judge only)
Original jurisdiction

In conclusion, it is the constitutional separation of powers mentioned in the beginning of this section which facilitates the difficult task the federal courts and, ultimately, the Supreme Court have of balancing the protection of society and the protection of the individual.

Now complete the review questions beginning on the next page.

Review Questions (II: A-1)

Write your answers on a separate sheet of paper.

1. Which of the following documents provides for the establishment of a federal court system?

   a. the U.S. Constitution
   b. the Declaration of Independence
   c. the Bill of Rights, Fifth Amendment
   d. Magna Carta

2. Which of the following phrases most accurately describes the length of time a federal judge may hold office?

   a. for a four-year term
   b. for a ten-year period
   c. during good behavior
   d. until a new president takes office

3. Which of the following most accurately describes the type of jurisdiction held by the U.S. District Courts?

   a. appellate jurisdiction only
   b. original jurisdiction only
   c. appellate and original jurisdiction
   d. preliminary hearings only

4. Which of the following most accurately describes the type of jurisdiction held by the U.S. Court of Appeals?

   a. appellate jurisdiction only
   b. original jurisdiction only
   c. appellate and original jurisdiction
   d. preliminary hearings only

5. Which of the following U.S. Courts of Appeal has jurisdiction in Florida cases?

   a. Florida Circuit Court of Appeals
   b. Fifteenth U.S. Court of Appeals
   c. Florida Supreme Court
   d. Eleventh U.S. Court of Appeals

6. Which of the following best describes who hears and decides the cases in the U.S. Court of Appeals?

   a. a panel of three judges
   b. a jury and one judge
   c. a federal grand jury
   d. a jury appointed by the U.S. Supreme Court

7. Which of the following most accurately describes the type of jurisdiction held by the U.S. Supreme Court?

   a. appellate jurisdiction
   b. original jurisdiction
   c. preliminary hearings
   d. both appellate and original jurisdiction

8. Which of the following best describes the term "original jurisdiction"?

   a. authority to hear and decide cases appealed from a lower court
   b. authority to try the facts and the laws involved in a case and rule on guilt or innocence of the accused
   c. authority to hear preliminary presentments
   d. authority to break new ground by changing the decision of a lower court

9. List **two** basic responsibilities which the Supreme Court has to balance when making its decisions.

10. List at least **four** differences between **trial courts** and **appellate courts.**

11. In your own words, define "appellate jurisdiction" and "tyranny."

Check your answers with the correct ones provided in the answer key.

Block II: The Courts
Unit A: U.S. Court System
Section 2: Florida Court System

[redacted]

Ask your instructor for the pretest for this section (II: A-2). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

In the United States, a dual system of courts has developed: the various state systems and the federal system, which you have just studied.

Although the state systems are different from each other, they generally follow the pattern established by the federal system with trial courts as inferior courts and appellate courts for review.

This section focuses on the Florida court system, its organization and functions. It also presents the path for appeals and the duties of various court personnel.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the court in the Florida system having original jurisdiction over misdemeanors.
2. Identify the court in the Florida system having original jurisdiction over felony crimes.
3. Identify the courts which have appellate jurisdiction.
4. Identify Florida's court of last resort on issues of state law.
5. List the sequence of courts through which an appeal would normally flow following a felony conviction.
6. Identify the duties of the various personnel in the court setting.
7. Identify the title of the prosecuting attorney in Florida.
8. State the number of judges required to hear a case in each of the state courts.
9. List at least three advantages of having judicial process.

Just as the federal court system was authorized by the United States Constitution, so the Florida court system is authorized by the Florida Constitution (Article V, Section 1):

"The judicial power shall be vested in a supreme court, district courts of appeal, circuit courts, and county courts."

Structure of the Florida State System

The names and functions of the court system are similar to the federal system except that Florida has **four** levels of courts, rather than three. These are supreme, appellate, circuit, and county courts.

The County Courts

The county courts are the lower trial courts. There is one county court for each of the 67 Florida counties, and 191 county court judges who serve four-year terms. The number of judges associated with each county depends on the size of the county and the number of cases heard. One judge hears each case, usually without a jury.

The function of the county court is to try violations of county and city ordinances, including traffic offenses, **misdemeanors** (less serious criminal offenses), and civil disputes involving $5,000 or less.

The Circuit Courts

The 20 Florida circuit courts are also trial courts, but each includes several counties in its jurisdiction. There are 326 circuit court judges, each serving a six-year term. One judge hears each case, and the defendant may request a jury trial. The number of judges in each circuit depends upon the population and case load.

The function of a circuit court is broader than a county court, including both original and appellate jurisdiction. It has original jurisdiction over the following: (1) civil cases involving more than $5,000, (2) controversies involving inheritance (such as probate), (3) cases involving juveniles (such as guardianship), (4) tax disputes, (5) land disputes, and (6) **felonies.** The circuit court judges also hear appeals from county court cases. Because the circuit court has original jurisdiction over both civil and criminal cases, it is said to have general jurisdiction.

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misdemeanors: offenses less than felonies; generally those punishable by fine or imprisonment otherwise than in penitentiaries.

felonies: by Florida law, any crimes which are punishable by death or imprisonment in the state prison.

As you can see, the circuit courts are responsible for many kinds of cases and are the first courts to experience overload. Circuit court judges face an ever-increasing work load as the legislature passes new laws to increase punishment for offenses. For example, the 1982 Legislature passed a strict set of laws concerning drunk drivers. Since more people are being arrested for drunken driving, the circuit court judge must hear many more such cases.

The District Courts of Appeal

There are five district courts of appeal, located in Tallahassee, Lakeland, Miami, West Palm Beach, and Daytona Beach. The number of judges varies from one district to another, but all use a three-judge panel for the review of cases.

The district courts review cases from the circuit courts in their respective districts. Since few cases go on to be reviewed by the state supreme court, the district courts are the final review in most civil and criminal cases.

Florida Supreme Court

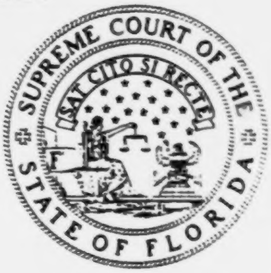


Figure A-2-1

The highest state court is the Florida Supreme Court, located in Tallahassee. There are seven justices, serving terms of six years. At least five justices must serve as a panel to hear a particular case. Four justices must agree in order for a decision to take effect. The chief justice is elected by majority vote of the justices to serve for two years.

The Florida Supreme Court is an appellate court and **must** review cases which involve:

1. the death penalty given in the circuit court
2. questions on the validity of a state statute or provision of the state constitution
3. action of a statewide agency, such as the Public Service Commission which sets utility service rates for the state.

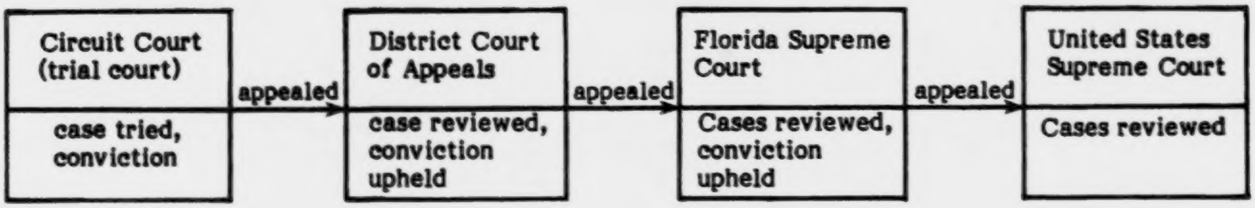
The Court may **choose** to review other kinds of cases most often involving:

1. questions of great public interest
2. conflicts with U.S. Supreme Court decisions or interpretations between various district courts of appeal on the same point of law
3. an interpretation of a state or federal constitutional provision.

One of its chief functions is to interpret state laws, just as the U.S. Supreme Court interprets and judges federal law, through the court process.

The Path of an Appeal

As in the federal system, a defendant may request that the next higher court review his/her case if the original ruling has been unfavorable. If the issues involved in a case are considered significant, an appeal could progress through the various state court levels and finally reach the U.S. Supreme Court, although the majority of cases do not get that far. The path for appeal of a **felony** conviction is as follows:


Circuit Court (trial court)
case tried, conviction
appealed
District Court of Appeals
case reviewed, conviction upheld
appealed
Florida Supreme Court
Cases reviewed, conviction upheld
appealed
United States Supreme Court
Cases reviewed

Usually, conviction in a felony case will be reviewed at least once by the Florida District Court of Appeals. Most felony cases end there since the state and United States supreme courts choose which cases to hear. There is no guarantee of a second or third review.

Because of their seriousness, all death sentences given at the state circuit court level are reviewed by the Florida Supreme Court, bypassing the state district court. Unlike other felony cases, which the Florida Supreme Court **chooses** to hear, death penalty cases **must** be reviewed by the highest court.

Advantages of the Judicial Process

Although a case may move slowly through the court system, the opportunities to have a fair trial and at least one review upon conviction are important advantages of our justice system and important safeguards of freedom. A few advantages are as follows:

1. The process applies a logical and systematic approach to a body of legal knowledge developed by reason and experience.

2. The judge provides appropriate guidance based upon accepted court principles and standards.

3. Judicial decisions are reviewed by other judges for evidence of individual prejudice, misconceptions, or public pressure.

4. Court records, which include case decisions, are public so that all citizens have access to them.

5. The legal process provides opportunity for a fair, impartial judgment from the courts.

Judge—The judge is the executive in charge of court procedure. S(he) makes decisions based on law and tradition. If the defendant chooses not to have a jury trial, the judge will decide the innocence or guilt of the defendant based on the facts of the case. When trial is by jury, the jury considers the facts and decides guilt or innocence. The judge then sentences the defendant found guilty and releases the innocent defendant.

Bailiff—Bailiffs are police officers assigned to the courtroom. They preserve order in the courtroom under the direction of the judge. They call the court into session and are responsible for the confinement and security of the prisoners. In some jurisdictions, bailiffs are also responsible for transporting prisoners to and from confinement, although corrections officers usually do so. Bailiffs are often assigned to screen persons entering the courtroom for weapons.

Clerk—The clerk of the court is a clerical or stenographic assistant to the judge. S(he) maintains the **docket** and court records and supervises payment of fines and filing fees.

Court Reporter—The reporter is a stenotypist or stenographic specialist who records, often both manually and electronically, the transcript of all testimony, motions, and statements made by witnesses and other trial participants. This transcript is an important document as it is later reviewed by appellate court judges, prosecutors, and defense attorneys. It **must** be accurate.

Magistrate—The magistrate is a judge who oversees the legal steps which occur before the trial process begins. The magistrate has authority to issue a warrant of arrest and conduct the **arraignment** (read the charge and hear the defendant's initial answer). S(he) conducts preliminary hearings (to reasonably determine that the accused may have committed a crime), binds the defendant over for grand jury action or trial, or releases the defendant after setting a bail requirement. **Binding over** is a legal term meaning the accused is legally bound, or required, to do something.

Prosecutor—The prosecutor is the attorney representing the state when it is named in a case. Each of the 20 judicial circuits is assigned an attorney, called a **state attorney**, whose main duty is the prosecution of criminal defendants in the county and circuit courts of that circuit. In a criminal case, the state attorney prosecutes (puts on trial) the accused in the name of "the people of the state of Florida."

The state attorney's broader duties include prosecuting for or defending the state in all civil or criminal cases in which it is a party. The state attorney is the chief law enforcement official in the circuit s(he) serves.

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docket: calendar.

arraignment: in criminal practice, to bring a prisoner to the bar of the court to answer to a criminal charge.

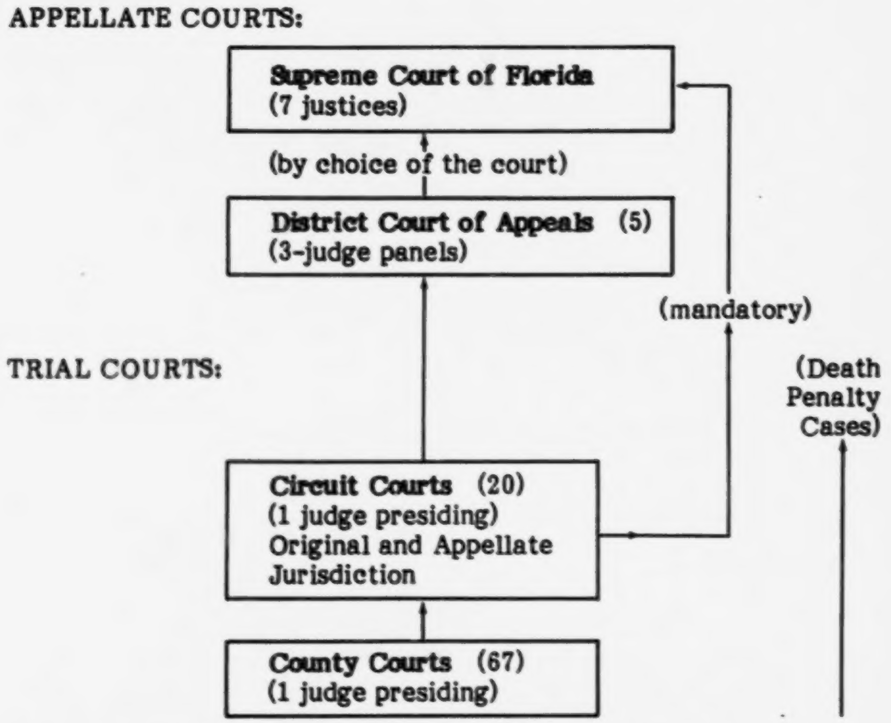
Defense Attorney—The defense attorney represents the defendant in court and presents the case as favorably as possible within legal and ethical bounds. It is a right of the accused to have a defense attorney, whether paid for by the accused or assigned by the court (public defender). As a professional, the attorney puts aside his/her personal feelings and beliefs about the case. The main role of the defense attorney is to assure that the defendant's position is justly presented and that s(he) receives a fair trial. The defense attorney gives legal counsel and advice to the defendant throughout the trial process.

The position of public defender in each circuit has been established to be sure indigent (poor) criminal defendants have a defense attorney. This attorney is paid out of public funds.

Summary

The Florida court system is somewhat similar to the federal court system having trial courts as inferior courts and appellate courts as superior courts. In Florida, there are two levels of trial courts and two appellate courts:

Route of Appeal


APPELLATE COURTS:
Supreme Court of Florida
(7 justices)
(by choice of the court)
District Court of Appeals (5)
(3-judge panels)
(mandatory)
TRIAL COURTS:
(Death Penalty Cases)
Circuit Courts (20)
(1 judge presiding)
Original and Appellate Jurisdiction
County Courts (67)
(1 judge presiding)

Note that the circuit court, while primarily a trial court, does hear appeals from the county courts in some cases. Also, note that a death penalty case is automatically appealed to the state supreme court.

The judicial system has been criticized for moving too slowly and overly protecting the defendant. However, a democratic society guarantees the safeguard of "due process of law" through all levels of the judicial system. Let's review the advantages of such a process: it is based on legal principles and reason rather than emotion; it offers the opportunity for review of one's case; it requires a public trial with published proceedings.

Participants in the court setting are: the judge, bailiff, clerk of the court, court reporter, magistrate, prosecutor, and defense attorney. All have a role in seeing that the trial proceeds legally, fairly, and safely.

Now complete the review questions beginning on the next page.

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Review Questions (II: A-2)

Write your answers on a separate sheet of paper.

Choose an answer from the list below which best completes each of the sentences 1-10. Write the numbers 1-10 on your paper, then write the letter of your answer choice next to the sentence number.
NOTE: Answers may be used more than once.

1. The ______ has original jurisdiction over misdemeanors.
2. The Florida District Court of Appeals has ______ jurisdiction.
3. The ______ is said to have general jurisdiction because it hears both civil and criminal cases.
4. The ______ has both original and appellate jurisdiction in the Florida court system.
5. If a defendant receives the death penalty in the trial court, s(he) appeals to the ______.
6. The ______ has original jurisdiction for felony crimes.
7. Following conviction in a felony case not resulting in the death penalty, the defendant first appeals to the ______.
8. The last possible court of appeals for a felony is ______.
9. Most felony cases end at the ______.
10. In the Florida District Court of Appeals, a case is heard by ______.

a. general
b. an individual judge
c. Florida Supreme Court
d. U.S. Supreme Court
e. original
f. Florida Circuit Court
g. appellate
h. a panel of judges
i. Florida County Court
j. Florida District Court of Appeals

Continue numbering your paper from 11-17. Match the primary court responsibilities listed on the right with the titles of court personnel listed on the left. Write the letter of the responsibility by the number for the title.

Title

11. judge
12. bailiff
13. clerk
14. court reporter

Responsibility

a. preserves order and safety
b. conducts preliminary hearing
c. in charge of court proceedings
d. takes accurate transcripts

15. magistrate (choose two duties)

16. state attorney

17. defense attorney

e. clerical assistant to the judge

f. represents the accused

g. brings defendant to trial in the name of the state

h. sets bail for the defendant

18. List four advantages of the judicial process.

Check your answers with the correct ones provided in the answer key.

Block II: The Courts
Unit A: U.S. Court System
Section 3: Local Courts

Ask your instructor for the pretest for this section (II: A-3). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Since Florida's lower court system was reorganized in 1973, **county** and **circuit** courts are now the only local courts in the state.

Historically, the local courts in the United States have been presided over by justices of the peace (J. P.'s), and constables who were the law enforcement officers of the J. P. districts. In many counties and cities throughout the United States, these J. P. courts have been replaced by a great variety of lower court systems. Although there is little structural uniformity in these systems, they usually carry out such duties as issuing warrants and **presentments**; setting bonds; and holding preliminary hearings in felony cases, petty misdemeanors, and traffic cases.

In the previous section, such local courts as county and circuit courts were discussed as part of the state court system. We will consider their internal organization and functions more specifically in this section.

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presentment: an informal statement in writing by the members of a grand jury to the court that a public offense has been committed, from their own knowledge or observation, without any bill of indictment laid before them.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the kinds of local courts presently in Florida.
2. Identify in which court and in which division a particular kind of case is first heard.
3. Identify probable duties for a county court judge in a small, medium, or large county.
4. Identify probable duties for a circuit judge in a small, medium, or large county.
5. Identify the role of the chief judge of the circuit court.

Before 1973, Florida had many kinds of local courts: municipal (city) courts, justice of the peace courts, family courts, police courts, and so on. Many states still have a variety of local courts. In Florida, however, following the reorganization of the state court system, the local courts were replaced by just two: **county** and **circuit** courts.

County Courts

Each of Florida's 67 counties has a county court, which is the trial court for that county. These courts have original jurisdiction in all criminal misdemeanor cases and in all violations of municipal and county ordinances. They also have original jurisdiction in civil disputes involving $5,000 or less. The number of county court judges assigned to a particular county depends largely on population size and number of cases which come before the court.

There are several ways in which county courts can be organized, again determined by such elements as the size of the county and the number of cases. In smaller counties with one judge, such as Walton, Franklin, Clay, and Jackson, the judge hears all county cases. In slightly larger counties having more than one judge, cases may be assigned equally to each, and each judge hears any type of county case. Examples of organization **by judge** include Okaloosa and St. Johns counties.

In medium and large counties, the case load may be divided **by kinds of cases**. The court then has various **divisions**. The judges in some counties rotate from one division to another; in other counties the judges are assigned to one division. In Dade County, for example, the county court has four divisions: the criminal, civil, traffic, and magistrate divisions. The criminal division handles misdemeanors. The civil division handles landlord/tenant disputes, small claims involving $1,500 or less, and civil claims of $1,501 to $5,000. (Remember that civil disputes involving more than $5,000 go to the circuit court.) The traffic division is in charge of traffic violations. The magistrate division is unique to some of the large counties. Because of the large number of cases in those areas, the county magistrate division does certain pretrial processes, the first appearances, and arraignments of those who are jailed for any level of crime.

In large counties, the county court may have several branches (district courts) located throughout the county. In Dade County, for example, there are 11 branch district courts. These courts hear all cases from their district.

Circuit Courts

As mentioned in the previous section, the circuit courts have original jurisdiction in civil cases involving more than $5,000 and in felony cases. The circuit courts have appellate jurisdiction in cases appealed from the county courts.

The **geographical** jurisdiction of the circuit courts varies, again depending on the size of the circuit. Five Florida circuits include only one large county; for example, the Eleventh Circuit includes only Dade County, and the Thirteenth Circuit includes only Hillsborough County. In these large circuits, the duties are divided by case subject. For example, there are 57 circuit judges in the Eleventh Circuit, and their duties are divided as follows:

Division or title	**No. of judges**	**Cases handled or duties assigned**
• chief judge	1	administers and coordinates all circuit cases
• criminal division	17	felony cases
• civil division	30	property disputes, tax disputes, divorce cases, civil disputes involving more than $5,000
• juvenile division	5	cases involving juveniles, such as delinquency, dependency, child neglect, child abuse
• probate division	4	cases involving wills and inheritance

Other circuits include several counties. Again, the number of circuit court judges assigned to each county depends on population and number of cases. Some counties have several circuit court judges, and some have no regular circuit court judge. The circuit courts in each circuit form a **network**, and the case assignments and work locations are coordinated by the **chief judge** of the circuit. Let us look at the Second Circuit as an example. There are six counties in the circuit. Franklin, Liberty, and Gadsden counties have small populations and no "home" circuit court judge. Jefferson and Wakulla counties have one circuit judge each, and this judge hears all circuit court cases. Leon, the biggest county in the circuit, has six judges. The Leon circuit court is organized by division and includes the following: civil, felony, probate, and juvenile. A judge in Leon County is assigned to a division and hears any of those cases. The chief judge assigns the judges as necessary around the circuit.

Let us look at one more example, the small Third Circuit. This circuit includes seven counties. There are four circuit court judges; each is responsible for all noncriminal work in his/her home county and assists in one other county. These judges rotate in each of four geographic areas.

These examples illustrate the variety in number and organization among the local courts. In conclusion, we can see that the greater the number of cases in a court's jurisdiction, the greater the number of judges assigned to it, and thus the more divisions (by kinds of cases) are necessary.

Summary

1. Three examples of county court organization:

All cases

Civil Division
Criminal Division

Traffic Division
Civil Division
Criminal Division (misdemeanors)
Magistrate Division

2. Three examples of circuit court organization:

All cases

Civil Division
Criminal Division (felonies)
Probate Division

Civil Division
Criminal Division (felonies)
Probate Division
Juvenile Division

3. Judges' responsibilities:

The responsibilities of individual local judges range from hearing all kinds of cases in an area to hearing only one kind of case per area. In some circuits, judges rotate into different geographical areas and/or into different divisions of the court. The chief judge of the circuit has the responsibility of coordinating and organizing the cases and the caseload within the circuit.

4. Kinds of cases heard in both court divisions (large court systems):

County courts
Civil Division: landlord/tenant, small claims, disputes less than $5,000
Criminal Division: misdemeanors
Traffic Division: traffic violations
Magistrate Division: pretrial processes for people jailed

Circuit courts
Civil Division: property disputes, tax disputes, divorce cases, civil disputes involving more than $5,000
Criminal Division: felony cases
Juvenile Division: delinquency, dependency, child neglect, child abuse
Probate Division: wills, inheritance

Now complete the review questions beginning on the next page.

Review Questions (II: A-3)

Write your answers on a separate sheet of paper.

1. List the **two** kinds of local courts and the relationship between the two.

2. Give examples of how a **small** and a **large** county court might be organized, and explain what kinds of cases the judges hear.

3. Give examples of how a **small** and a **large** circuit court might be organized.

For questions 4-9, match the types of cases listed below with the courts and divisions where they would first be heard. Write the letter of the court division by the number of the case type. Assume that these cases are being heard in a large county.
NOTE: Answers may be used more than once.

Type of Case

4. felony
5. divorce
6. child neglect
7. misdemeanor
8. small claims ($1,500)
9. landlord/tenant

Court and Division

a. county court, civil division
b. county court, criminal division
c. circuit court, felony division
d. county court, traffic division
e. circuit court, juvenile division
f. circuit court, civil division

10. Briefly explain the role of the chief judge of the circuit.

Check your answers with the correct ones provided in the answer key.

Block II: The Courts
Unit B: Criminal Justice Process
Section 1: Pretrial Processes

Ask your instructor for the pretest for this section (II: B-1). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

In this unit, we will present the various procedures of the judicial system involving the defendant. The criminal justice process of the court system can be divided into three main processes: pretrial, trial, and posttrial.

In Section 1, Pretrial Processes, we will examine those processes of the judicial system that occur before the trial begins.

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the three functions of the magistrate presiding over the presentment of an accused person.
2. Identify the purposes of each of the pretrial procedures.
3. Identify the purpose, size, procedures, and the two possible vote outcomes of the grand jury in Florida.
4. List and define the most common pleas which accused persons enter.
5. Identify four common types of pretrial defense motions and the situations or reasons for making them.
6. Identify definitions for the following vocabulary and terminology used in this section:
    - presentment
    - binding over
    - an information
    - released on one's own recognizance
    - to waive
    - indictment
    - true bill of indictment
    - no bill
    - venue

The Pretrial Process

Following the investigation of a crime, the arrest, and the booking of the suspect (discussed in other units), control of the suspect is transferred from the executive (police) to the judicial (court) branch of government. Before the trial itself, there are five possible procedures, each safeguarding the rights of the accused:

- presentment
- preliminary hearing
- grand jury
- arraignment
- pretrial hearings

In Florida, only 180 days may elapse between the arrest and the trial in felony cases.

Presentment

Presentment, or the defendant's first appearance before a magistrate (judge), must take place in Florida within 24 hours of the booking. **Presentment is**, essentially, **the transfer of the accused from the executive branch of government to the judicial branch.** The magistrate explains the situation clearly to the accused and must repeat the advising of the charges and the constitutional rights, which the police should have already explained several times. The magistrate may set the amount of bond, advise the accused of the right to counsel, and appoint a public defender if the accused cannot afford private counsel. If the offense is not a felony, the accused is usually released at this time after posting the appropriate appearance bond. In some instances, the release is on his/her "own recognizance." When **released on one's own recognizance**, the accused promises to appear in court when required.

Preliminary Hearing

In Florida, the defendant in a felony case must be given a preliminary hearing within seven days following the presentment. The primary purpose of this hearing is to determine if there is sufficient evidence for believing that the accused committed the crime as charged. The magistrate hears the details of the case and determines whether the facts support reasonable probability of guilt or the accused seems innocent. This step protects the rights of the accused from arbitrary arrest since someone whose innocence could quickly be determined here would be released.

Proof of guilt is not required. If there is likelihood of guilt, however, the magistrate has three choices in felony cases.

- First, s(he) can **bind** the defendant **over** for a trial in circuit court. **Binding over** is a legal term meaning the accused is legally bound, or required, to do something. In this case, the accused must appear in court at the appointed time.

- Second, the magistrate can bind the case over to a grand jury for investigation and indictment (see below).

- Third, the magistrate can dismiss the case, at which time the state (prosecuting) attorney may re-examine, and possibly refile or amend, the charge. The state attorney would then file an information. An **"information"** is a formal charge stating that the named person has committed a specific offense, with an offer to prove that fact in court.

In most jurisdictions, misdemeanor prosecutions begin with the filing of an information; a grand jury is not necessary.

In Florida, the public defender system assures that all defendants have defenders when they reach the preliminary hearing, even if they cannot afford private counsel. Although this hearing can be **waived** (voluntarily given up) by the defense, it is usually a good opportunity to discover the state's case against the accused in order to plan an appropriate strategy.

Grand Jury

The function of the grand jury is to safeguard the individual from arbitrary confinement and prosecution. The grand jury screens felony cases sent to them by the magistrate and votes on whether they should go to trial. This step protects individuals from overzealous prosecutors.

It is important to realize that the grand jury procedure is **not** a trial, and it does not judge the defendant. Rather, its specific purpose is to decide whether or not, on the basis of evidence presented, the accused should be indicted. An **indictment** (pronounced in-dite-ment) is an accusation in writing by the grand jury, charging that a person has done some act or been guilty of some omission which, by law, is a crime.

In Florida, a grand jury consists of 18 citizens chosen from the community voting pool. Unlike a trial, only the state's side is presented. The prosecutor tries to present enough evidence to persuade the grand jury that the accused is probably guilty and should be tried.

The accused does not appear, and no defense is given. All grand jury hearings are secret, since some allegations (statements of accusation) may never be proved and could damage formal trial proceedings. Witnesses are called but are not cross-examined.

After hearing the prosecutor's evidence, the grand jury votes on whether or not the case should go to trial. If the accused does not seem to be innocent, then the grand jury agrees to **"a true bill of indictment"** by majority vote. The defendant would then move to the next pretrial stage—the arraignment. No one can be tried for a federal crime without a grand jury indictment.

If the jury does not agree on an indictment, it votes **"no bill."** This does not mean the accused is acquitted or found innocent. It simply means there is not enough evidence for an indictment. The matter is automatically dismissed. However, if more evidence of guilt is gathered later, the case may be presented to another grand jury.

Arraignment

The arraignment is the first appearance of the accused in the court where trial proceedings will be conducted. Here the accused is given the opportunity to plea, or answer, the accusation. It is held in open court and begins with a reading of the complaint (from the preliminary hearing), the indictment (from the grand jury), or the information (from the prosecuting attorney). The accused is once again advised of his/her constitutional rights, including the right to counsel and the protection against self-incrimination. The plea may be:

a. **Guilty** as charged, or guilty of a lesser offense. The lesser charge pleas are common in Florida's overloaded courts and usually result from plea bargaining between the defense and prosecution. Such pleas are usually accepted to save court trial time. The guilty plea may not be accepted if the judge feels that justice would be better served by a trial. In some situations, the judge may believe the offender has not understood the consequences of the guilty plea, or that the plea was not completely voluntary. In other situations, the judge may not accept a plea of guilty to a less serious offense because s(he) believes the offender should be tried for the major crime instead. If the judge accepts the guilty plea, s(he) sets a date for sentencing, usually allowing enough time for presentence investigation. No trial is necessary.

b. **Not guilty.** If the accused enters a plea of not guilty, the judge sets a trial date, and both sides prepare their cases. If the defendant does not reply to the question, "How do you plead," the plea of **not guilty** is assumed.

c. **Nolo contendere** (NO-lo kon-TEN-de-re). Literally, it means "I will not contest it." This plea is not a direct admission of guilt but means the defendant will not contest a declaration of guilt and prefers not going to trial. It is then treated as a guilty plea for purposes of criminal prosecution. The advantage is that this plea is not acceptable as evidence of guilt in any civil suits growing out of the same circumstances. Thus, a victim would still need to prove the case if s(he) wanted to collect for civil damages.

Pretrial Hearings

Pretrial hearings provide the defense an opportunity to file motions which may affect the upcoming trial. The defense can file many kinds of motions to verify that a trial is necessary and that it will be just and fair. Some common motions which protect the accused's rights include:

a. **Motion for Change of Venue. Venue** refers to the location of the trial. An advantage of holding the trial in the area where the crime occurred is its convenience for appearance of witnesses, the defendant, and others connected with the case. However, if the defense believes there is strong bias against the accused which prevents a fair trial in the community, it may file a motion to change location. For example, if the local news media have published details of the case, community members may assume the guilt or innocence of the accused before the trial takes place.

b. **Motion to Separate Codefendants.** If there are two or more codefendants, the defense attorney for the one who allegedly played a lesser role in the crime may file a motion to separate codefendants so that each is tried separately.

c. **Motion to Suppress Evidence.** If the defense believes physical evidence has been obtained illegally, s(he) will file a motion to exclude that evidence from trial. Evidence gathered during an illegal search, for example, is not admissable.

d. **Motion to Suppress a Confession.** If the defense attorney suspects that the defendant confessed to the crime without understanding the implications of doing so or was forced to confess, s(he) may file a motion to suppress a confession.

e. **Motion to Dismiss the Case.** The defense may file a motion to dismiss the case when the indictment does not actually present a criminal violation or evidence was not legally obtained.

Summary

In this section you have studied the pretrial process a suspect goes through after being arrested. There are five possible pretrial procedures designed to protect the accused individual's rights after arrest:

1. **presentment** before a magistrate who explains the charges
2. **preliminary hearing** where the magistrate determines if there is sufficient evidence to charge the accused
3. **grand jury** hearing which screens felony cases to decide upon indictment or not
4. **arraignment** in the appropriate trial court where the accused responds to the charges by entering a plea
5. **pretrial hearing** where the defense may file motions to affect the course of the upcoming trial

In felony cases, the magistrate may:

1. bind the accused over for circuit court trial
2. send the case to a grand jury for investigation and indictment
3. dismiss the case.

If a grand jury is called, it must reach one of two possible decisions:

1. a "true bill of indictment" if the accused seems guilty
2. "no bill" if the evidence for indictment is unconvincing

There are three pleas available to a defendant who is arraigned:

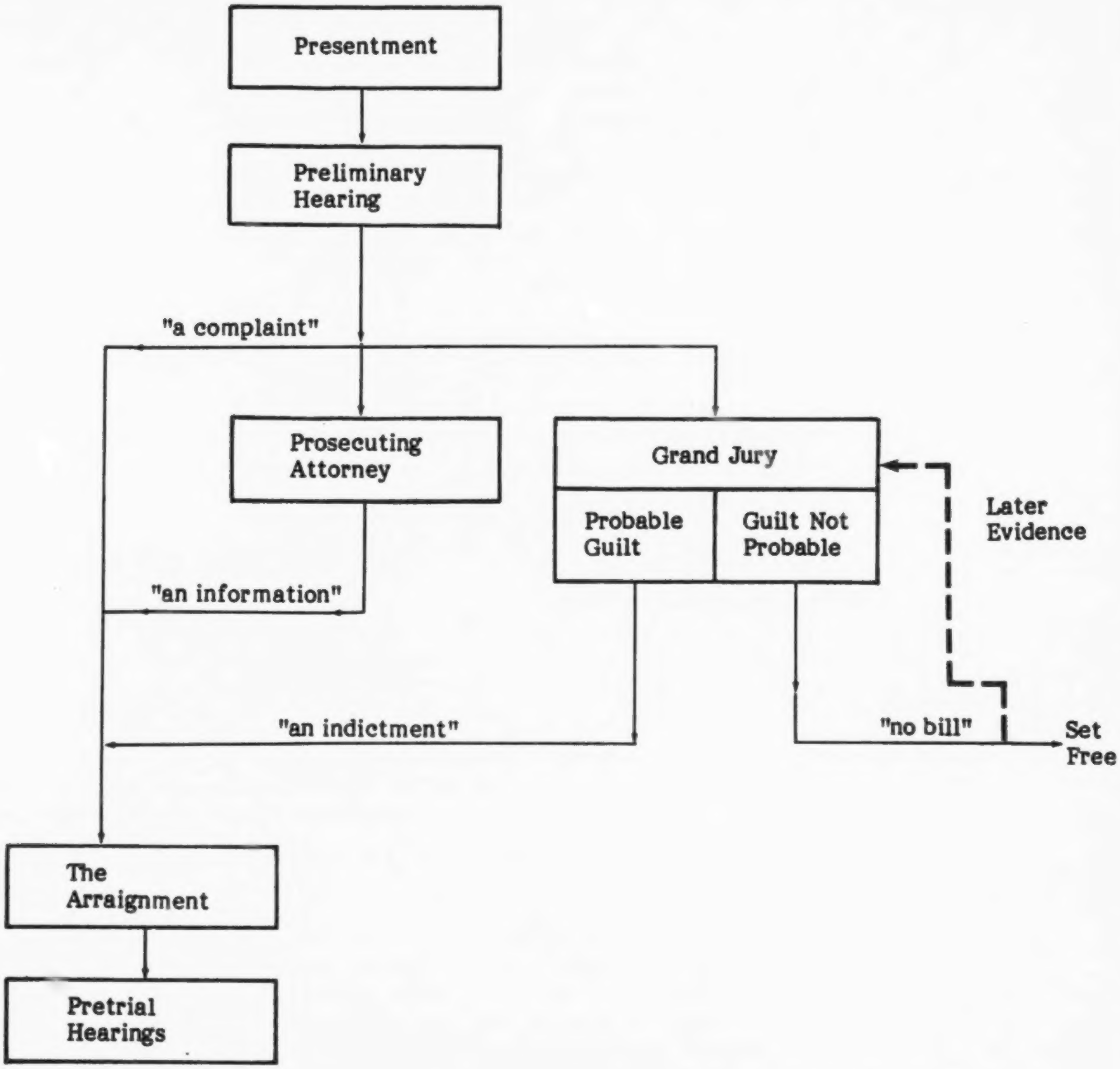
1. guilty, either as charged or of a lesser offense
2. not guilty
3. nolo contendere, where the defendant does not contest a declaration of guilt although s(he) has not confessed to the crime

Once a defendant has been formally charged through an information or an indictment and has entered the appropriate plea at his/her arraignment, the defense attorney may make various motions at the pretrial hearing which can affect the course of the trial to come. Five common defense motions are:

1. change of venue or location
2. separate codefendants if one played a minor role in the crime
3. suppress evidence obtained illegally
4. suppress a confession obtained under suspicious circumstances
5. dismiss a case if charge or evidence is questionable.

The following chart summarizes the pretrial procedures discussed in this section:

Pretrial Path of a Criminal Case


Presentment
Preliminary Hearing
"a complaint"
Prosecuting Attorney
Grand Jury
Probable Guilt
Guilt Not Probable
Later Evidence
"an information"
"an indictment"
"no bill"
Set Free
The Arraignment
Pretrial Hearings

Now complete the review questions beginning on the next page.

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Review Questions (II: B-1)

Write your answers on a separate sheet of paper.

1. List at least **four** duties or functions of the magistrate presiding over the presentment.

2. In Florida, the size of the grand jury is: (Choose the correct answer.)

   a. 12
   b. 15
   c. 18
   d. 20

Questions 3-6 are about the grand jury. Indicate whether each statement is true or false by writing T or F on your paper.

3. The grand jury judges the accused.

4. The grand jury hears both sides of the case.

5. All grand jury hearings are closed to the public.

6. The vote of the grand jury leads to either an indictment or a warrant.

For each pretrial procedure numbered 7-11, choose at least one of its purposes, identified by the letters below. (The procedures are not in order.)

7. pretrial hearings

8. preliminary hearing

9. the arraignment

10. the grand jury

11. presentment

    a. to decide the guilt or innocence of the accused
    b. to give the accused the opportunity to enter a plea in response to the charges
    c. to safeguard rights of the accused
    d. to pass control of the accused from the executive to the judicial branch of government
    e. to insure that the trial will include only fair, legal evidence
    f. to decide whether there is sufficient evidence for believing the accused may have committed the crime
    g. to decide whether a trial should be held

12. The procedures listed above (7-11) are not in proper order. Put them in order chronologically (which occurs first, second, third, etc.).

13. List and define the **three** most common pleas defendants make.

For the situations listed below (14-16), choose the kind of pretrial motion (a-d) which the defense might file.

14. The role the defendant played in the crime may have been minor compared to the roles of others.

15. The local newspapers and television stations have given much publicity to the crime.

16. While in police custody, the defendant admitted s(he) committed the crime, but said it was an accident.

a. motion for change of venue
b. motion to suppress evidence
c. motion to suppress a confession
d. motion to separate codefendants

For questions 17-24, match the terminology on the left with the best definition on the right. Write the letter of the definition by the number for the term.

Terms

17. venue
18. binding over
19. an indictment
20. no bill
21. to waive
22. to release on one's own recognizance
23. an information
24. presentment

Definitions

a. one possible result of the grand jury vote, recommending a trial
b. to voluntarily give up some right
c. place or location
d. must take place within three days following first appearance
e. defendant is released, but promises to appear in court when required
f. a format charge filed by the prosecutor which leads to a trial
g. a grand jury vote indicating that there is not enough evidence for a jury trial
h. first appearance before a judge, when jurisdiction passes from the executive (enforcing) branch to the judicial branch
i. judge determines next procedure, which the defendant is then legally required to do

Check your answers with the correct ones provided in the answer key.

Block II: The Courts

Unit B: Criminal Justice Process

Section 2: Trial Processes

Ask your instructor for the pretest for this section (II: B-2). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

All pretrial processes discussed in the previous section are safeguards for the defendant. If the defendant is found to be innocent, s(he) may be released after any of these procedures.

However, if all the pretrial processes indicate that the defendant **may** be guilty, then the case goes to trial. Only if guilt is established beyond reasonable doubt will the person be sentenced.

In this section, we will review some of the personnel involved in the trial, and then we will describe the courtroom setting and the processes of the trial itself.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the principal roles and responsibilities of the judge, the jury, the prosecutor, and the defense attorney in a jury trial.
2. Identify the defense attorney's legal and ethical responsibility to his/her client.
3. List and explain briefly the two kinds of challenges used in jury selection.
4. Identify the four kinds of questioning which a witness may undergo and the differences among them.
5. List two motions the defense often makes when the state has completed its case.
6. List and explain three characteristics of admissable evidence and of nonadmissable evidence.
7. Identify the correct use of the following vocabulary and terminology used in this section:
   - charging the jury
   - polling the jury
   - hung jury
   - direct, real and circumstantial evidence
   - to extradite/extradition
   - to acquit/acquittal
   - to rebut/rebuttal
   - jurisdiction over the person
   - voir dire
   - directed verdict

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Central to the protection of individual rights is the trial process, where the charges against the individual are publicly made clear, and both sides (the prosecution and the defense) present their arguments before an impartial group of citizens (the jury) or before a judge (when the jury is waived) who determines guilt or innocence. When jurors are used, they vote on whether they believe the defendant is guilty or innocent. If s(he) is found guilty, the judge sentences the defendant appropriately. Thus the decision of guilt is taken out of the hands of a single ruler or political representative.

Once the pretrial processes show that a case should go to trial, there are three conditions which must be established before the trial begins:

- mental competency of the defendant
- jurisdiction of the court
- jurisdiction over the person

Mental Competency of the Defendant

Before the trial begins, the defendant must be able to understand what s(he) is facing and to consult with the lawyer in preparation of the defense. If a psychiatric examination shows that the defendant is not mentally competent enough to stand trial, the trial is postponed and the defendant assigned to psychiatric care. A trial may be conducted later when s(he) shows improvement. Notice that this pretrial decision is different from a trial jury's decision that the defendant is "innocent by reason of insanity."

Court Jurisdiction

As you learned in the section on courts, the jurisdiction or authority of each court is different, that is, they handle different kinds of cases. There are three elements which determine the jurisdiction of a case. The first element is the **kind of case**. If it involves a criminal offense, it must be tried in the court responsible for criminal cases. Second is the **nature or level of the offense**. The nature of the crime—whether it is a state or federal offense—determines which court should hear it. The third element is **territorial jurisdiction**, that is, the crime occurred within the physical territory of a specific court.

Jurisdiction Over the Person

In order to try a person, s(he) must be physically present in court. Having a person available for trial is called having "jurisdiction over the person." If a defendant escapes to another state and is caught there, s(he) must undergo **extradition**. Caught in one state but wanted for trial in another, an alleged criminal is extradited, or handed over, to the state having jurisdiction to try the charge.

Once the conditions of mental competency, correct court jurisdiction, and jurisdiction over the person are met, the trial can proceed.

Review of Trial Personnel

1. **Judge**. Since the trial is an adversary proceeding (that is, one side against another), a referee is needed to decide what is fair and what can and cannot be done. The judge is more than a referee, however. S(he) is an authority on **questions of law** and makes legal decisions concerning admissibility of evidence, validity of objections, and whether the jury should be present during certain arguments. S(he) interprets the law for the jury, not the facts of the case. S(he) is also responsible for maintaining order, dignity, and proper demeanor in the courtroom.

2. **Jury**. A jury consists of 6 or 12 citizens chosen from a list of registered voters. The jury has sole responsibility for interpreting the facts presented in court. Jury members must weigh the evidence presented by both sides and determine the accused's guilt or innocence. Jury deliberations are held in secret. Tampering or attempting to influence a juror's decision outside the courtroom is a felony.

3. **Witnesses**. The testimony of witnesses is evidence weighed and considered by the jury. The jury assumes that witnesses truthfully present the facts of the case as they understand and remember them. Witnesses can be called to support either side of the case. There are many kinds of witnesses. They may include citizens who observed or heard the criminal act, police officers who investigated the facts, and expert witnesses who testify based on their special technical, scientific, or medical experience.

4. **Prosecutor**. Each court district in Florida has a state attorney, or prosecutor, who represents the state in criminal proceedings. S(he) decides which charges are to be brought against the defendant. The prosecutor's responsibility during the trial is to prove the guilt of the defendant beyond all reasonable doubt. S(he) prepares the case against the defendant, presenting evidence in court to support this position. The prosecutor may also lessen the charge against the defendant or divert him/her to a treatment program when appropriate.

5. **Defense attorney**. During the trial, it is the defense attorney's role to persuade the jury of the defendant's innocence and to point out weaknesses, errors, or inconsistencies in the state's case. The defender's objective, by whatever legal and ethical means available, is to have his/her client **acquitted** (found innocent) by the jury. Strategies may include persuasive argument, timely objections, effective cross-examination, and his/her personality or style of presentation. The code of ethics of a defense attorney does

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extradition: one state turns over an alleged criminal to the state which has jurisdiction in the case.

not permit him/her to refuse to defend a client because s(he) believes the client is guilty. The defender's obligation is to **provide adequate legal defense for the accused, whether guilty or not.** Many cases have later been reversed or thrown out by the appellate court because the accused did not have adequate defense.

6. **Defendant.** The defendant (the accused) is the principal figure in the trial proceeding. S(he) must be able to serve as advisor and assistant to the defense attorney. In this role, s(he) should be alert during jury selection and listen carefully to the testimony of witnesses. S(he) may be able to help the case with facts or explanations the attorney may not have.

In addition to these six principal players, other participants in the court drama are the bailiff, clerk, and reporter. We have discussed these officials in the section on courts.

Selection of the Jury

Potential jurors are selected from residents of the county where the trial is being held. Theoretically, the jury is a cross section of the community, though certain persons are excused or are ineligible. The jury selection process is often time consuming and may take longer than the trial itself since both the prosecution and the defense are extremely careful about the selection of each juror.

The clerk of the court selects the jury panel (or pool) by lot from the list of eligible citizens. All the panel are potential jurors for a particular case and must report for duty.

The questioning of prospective jurors, which is called **voir dire** (vwor dēr), then begins. The goal is to select a fair and impartial jury. This questioning is done by the judge in federal courts; in state courts, attorneys for both sides may question each prospective juror.

Both attorneys try to eliminate persons who may not be able to make an **impartial** decision about the case. For example, a potential juror may show a personal bias which could affect the case. Others may know one of the trial participants. Still others may have been influenced by pretrial publicity. A juror may be challenged for any of these reasons by the judge or either attorney. If the juror does not satisfy the examiner's concerns, s(he) may be dismissed "for cause," meaning there was cause to doubt the juror's **impartiality**. Any number of prospective jurors may be dismissed for cause.

In addition to such challenges and dismissals for cause, both attorneys may challenge and dismiss a **limited** number of prospective jurors for no reason. These are called **peremptory** challenges. The number of peremptory challenges allowed varies depending on the criminal charge and may be set by statute or the judge.

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voir dire: to speak the truth.

impartial; impartiality: unbiased, fair.

Once a jury is selected, members are sworn in and advised of their duties by the judge. They then select one juror to serve as the jury foreman.

Evidence

The trial is an examination of evidence by a jury. The facts of the case are presented to the jury during the trial and become the evidence supporting one side of the case or the other. The jury's vote at the end of the trial indicates how it interpreted the facts and which side had the more convincing evidence.

Before we present the list of trial events, you should know the basic definitions and rules of evidence. These rules define types of evidence and establish the sequence in which evidence is presented during the trial. There are four basic kinds of evidence:

real evidence:	physical objects, such as weapons, glass, blood samples, etc.
testimony:	verbal statements of both eye witnesses and expert witnesses
direct evidence:	the immediate experience of a witness who has seen, heard, smelled, felt, or tasted something at the scene of the crime; evidence based on something experienced firsthand
circumstantial evidence:	events, facts, or circumstances not actually observed that logically combine with established facts and seem to prove the defendant guilty

One of the judge's duties is to decide what evidence is legally **admissible**, that is, can be presented to the jury for consideration. The evidence should be **relevant** and **material** to the case. By relevant we mean the evidence should be related to the case at hand. Material means the evidence should be significant or important to the case. In addition, a witness must be deemed **competent** for his/her evidence to be believed. If one of the attornies has a question about the evidence to be presented, s(he) must raise a timely objection. Objections can be raised if the evidence is irrelevant or immaterial or if the witness is incompetent or gives improper testimony. The judge then rules on the objection, deciding whether or not a piece of evidence should be admitted into the trial proceedings and court records.

List of Trial Events

1. The bailiff calls the courtroom spectators to order, pronounces the court in session, and waits for the judge to enter.
2. The court clerk reads the formal charge (an information filed by the state attorney, or an indictment filed by the grand jury) to the defendant and jury. The judge asks the defendant to stand and respond to the charges with his/her plea.

3. The plea made at the arraignment is repeated or, in some cases, changed. (For our purposes here, we assume that the plea is **not guilty**. If it is **guilty**, the trial is not necessary.)

4. The state attorney makes an **opening statement**, explaining the state's theory of the case, an outline of the evidence to be presented, and a short summary of what conclusions s(he) will draw.

   The defense attorney does not always make an opening statement at this time since s(he) is not obligated to prove anything. The burden of proof belongs to the prosecution. The defense attorney often waits until the state has presented its entire case before responding.

5. The state presents its case. The state attorney calls witnesses and presents evidence to prove that a crime was committed by the defendant. A number of strategies are used in presenting evidence. Usually eye witnesses are called to give testimony. The attorney may bring out this oral evidence either by questioning the witness or letting the witness explain what happened. The first presentation of a witness is called **direct examination**. The opposing attorney's chance to question the witness is called **cross-examination** and is restricted to matters covered in the direct examination. The defense attempts to diminish the credibility of the prosecution's witness and create doubt about his/her testimony in the jurors' minds. The prosecutor may then attempt to reestablish the credibility of the witness by **redirect examination** and the defense may try again to destroy credibility by **recross-examination**. Each witness may thus have four examinations.

   Physical or real evidence such as photographs, fingerprints, weapons, or forensic (laboratory) findings is presented by expert witnesses. Such witnesses must be examined to establish their qualifications and their evidence must be shown to be material and relevant to the case. How the evidence was obtained will also be an issue, since evidence obtained improperly may not be admitted. The judge must rule on the admissability of each exhibit presented before it is accepted as evidence.

6. **Motions** are raised throughout the trial. A motion is a request for the judge's ruling on procedure or a point of law. All objections and motions must be timely. That is, they must be made immediately following the supposed error. When the state has completed its presentation, the defense may request the jury to leave and then motion that the case be dismissed for lack of evidence. The defense may also ask the judge for a **directed verdict** of not guilty which means s(he) asks the judge to rule on the case at that point rather than proceeding with the defense and jury deliberations.

7. The defense's presentation begins if the motions to dismiss or acquit are denied. Once the jury is returned the defense begins its opening statement. The defense attorney then calls witnesses in the same manner as that described for the prosecution. The defense examines its witnesses directly; the prosecutor then cross-examines them for incompetence. The defense attorney then presents a redirect examination of the witness, and the prosecutor has an opportunity for a recross-examination.

8. Opportunity for **rebuttal** is next. After the defense closes, the state attorney can present additional testimony to **rebut** any evidence which s(he) feels has weakened the state's case. The defense may follow with its own rebuttal, usually called **surrebuttal.**

9. First the prosecutor and then the defense make closing statements. The prosecuter argues the case to the jury, reviewing the evidence and summarizing the state's position. The defense attorney then does the same for his/her client.

10. The judge then **charges the jury** (gives them instructions for considering the evidence). The judge explains their responsibilities, duties, and obligations in the case. Charges may mention specific applications of the law to the case as well as how to legally interpret certain pieces of evidence and evaluate their importance. The possible verdicts are reviewed and explained. The jury then returns to the jury room to consider the evidence and make its decision.

11. The **deliberations** of the jury may take a few minutes or several days. Deliberations are secret, and the bailiff insures that no one is permitted within hearing. If a verdict cannot be reached the first day, the jury may be sequestered in a hotel. That means jurors are isolated from the public and any news media which might mention the case. Only facts heard in court can be taken into account as the jury tries to reach a verdict. Jurors return to the jury room each day until they reach a verdict by unanimous vote. If a unanimous verdict of innocence or guilt cannot be reached, the case results in a **hung jury**. Those jurors are dismissed, and the case may be tried later with different jurors.

12. When the jury agrees on a verdict, court reconvenes for the **reading of the verdict.** When the jury returns, the judge asks the foreman or the clerk to read the verdict. The prosecutor or the defense attorney may then ask that the jury be **polled**; that is, each juror is asked what his/her vote was. If there seems to be hesitation or disagreement, the jury may be sent back for further deliberations. If the verdict is not guilty, the defendant is dismissed. When the verdict is "innocent by reason of insanity," the defendant is assigned to a treatment facility rather than being released or imprisoned.

    If the verdict is guilty, the judge will order the defendant to jail to await sentencing or to continue on bail, if appropriate. In some states, the jury recommends a particular sentence as part of the guilty verdict. The judge sets a date for sentencing and usually requests corrections personnel to conduct a presentence investigation of the defendant's background. This investigation will be explained in detail in the next section.

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rebut: to contradict by legal argument; to answer with counterproof.

Summary

This section has shown how the trial process assures a fair and just presentation of both sides of a case. Let's review the nature of evidence presented to the jury:

Good evidence:	**Objectionable evidence:**
1. **relevant**—facts are actually related to the case	1. **irrelevant**—facts are not related to the case
2. **material**—facts are important to the case	2. **immaterial**—facts presented are not important to the case
3. **competent witness**—one who presents facts as correctly as possible	3. **incompetent witness**—one who cannot or might not tell the truth

After the jury is selected, the main events of the trial occur as follows:

1. Bailiff calls the courtroom to order.
2. Court clerk reads the information or indictment.
3. Court clerk reads the defendant's plea.
4. State attorney makes his/her opening statements; the defense usually waits at this point.
5. The state attorney opens the case against the defendent, presenting witnesses and any physical and circumstantial evidence. The defense attorney conducts cross-examination and raises objections when necessary.
6. Motions can be filed by either attorney throughout the trial. Following the prosecuting attorney's presentation, the defense often moves to dismiss the case for lack of evidence or asks the judge for a directed verdict.
7. The defense attorney presents witnesses and evidence supporting the defendant. The prosecuting attorney offers cross-examination and objections as appropriate.
8. The state attorney conducts the rebuttal. The defense offers its surrebuttal.
9. Both sides offer their closing statements.
10. The judge charges the jury.
11. The jury deliberates and reaches a verdict.
12. The clerk reads the verdict.

Now complete the review questions beginning on the next page.

Review Questions (II: B-2)

Write your answers on a separate sheet of paper.

The personnel involved in a trial have numerous roles and responsibilities. Match each duty listed 1-8 with the person who performs it (a-d) by writing the correct letter after each number on your paper.

1. files a motion for a directed verdict of not guilty
2. presents the evidence which seems to indicate the guilt of the defendant
3. clarifies points of law
4. determines the verdict
5. interprets the facts as presented in the trial
6. decides whether certain evidence is admissable
7. presents evidence which supports the innocence of the defendant
8. charges the jury following closing statements

Persons

a. judge
b. jury
c. prosecutor
d. defense attorney

9. Explain what is meant by the phrase "challenge for cause" and give examples.
10. Explain what is meant by a peremptory challenge and when it is used.

For questions 11, 12, and 13, write on your paper the word(s) needed to complete the statements correctly.

11. During the ______ examination, the opposing attorney tries to create doubts about the witness and his/her testimony.
12. To reestablish the credibility of the witness, the attorney may conduct a ______ examination.
13. The first questioning of the witness by the attorney who called that witness is called the ______ examination.
14. List the two motions most often filed by the defense after the prosecutor has presented his/her case.

15. Facts presented as evidence during a trial should be: (Choose the correct answer.)

    a. relevant and immaterial.
    b. relevant and given by a competent witness.
    c. irrelevant and material.
    d. given by an incompetent witness and relevant.

For each numbered explanation, choose the matching term from the list on the right. Write the correct letter by each number on your paper.

Explanation

16. judge gives instruction to the jury on how to consider the evidence
17. facts actually seen, heard, touched by the witness
18. jury finding the defendant not guilty
19. responding to or answering evidence which seems to weaken one's case
20. assumed facts that logically combine with what is known to prove defendant is guilty
21. not guilty verdict determined by the judge only
22. questioning of prospective jurors

Term

a. real evidence
b. to acquit
c. circumstantial evidence
d. polling the jury
e. voir dire
f. directed evidence
g. irrelevant evidence
h. to extradite
i. direct evidence
j. charging the jury
k. to rebut

Check your answers with the correct ones provided in the answer key.

Block II: The Courts
Unit B: Criminal Justice Process
Section 3: Posttrial Processes

Ask your instructor for the pretest for this section (II: B-3). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

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Introduction

We have seen how the rights of the accused are safeguarded both before and during the trial.

If the accused is convicted (found guilty) of the crime through the trial process, s(he) is not automatically imprisoned. There are procedures for challenging the verdict as well as alternatives to imprisonment which the judge considers when sentencing the accused.

This section will examine those processes which take place after the trial, pointing out the continued protection of individual rights.

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the two postconviction motions filed at the trial court level.
2. Identify the possible reasons for granting the postconviction motions.
3. Identify the action required of a Florida trial jury after it finds a defendant guilty of a capital crime.
4. Explain the sentencing guidelines which were adopted in 1983.
5. List and explain three possible results of a review by an appellate court.
6. Identify the correct use of the following vocabulary and terminology found in this section:
   - indeterminate sentence
   - allocution
   - remand
   - disposition
   - to convict
   - restitution
   - incarceration
   - to reconvene
   - leniency
   - capital punishment
   - to suspend
   - directed verdict of acquittal

Sentencing, the main posttrial event, occurs several days after the guilty verdict has been announced at the end of the trial.

Presentence Activities

Two events may occur before the sentencing:

- motions to change the verdict
- presentence investigation of the accused

Motions to change the verdict

There are two motions the defense may file following a guilty verdict. One is the **motion for directed verdict of acquittal.** This motion requests the judge to override the jury's verdict based on a documented error in the state's case. The second is a **motion for a new trial.** This motion requests the judge to grant another opportunity to defend against the state's case for one of several reasons:

1. alleged error by members of the jury
2. discovery of new evidence
3. inadequate or incompetent defense
4. improper evidence allowed
5. error in charging the jury

Both of these motions must be filed within a specified period following the trial.

Presentence Investigation

The judge usually asks for an investigation of the defendant before entering (deciding upon a) sentence. In Florida, the Probation and Parole Services of the Department of Corrections handles this investigation. A probation and parole officer writes a profile of the defendant's history. The report usually includes the defendant's physical, emotional, and mental health; family and socioeconomic background; education and employment; and legal history including previous arrests, convictions, probation record, and so on. The report may also include recommendations about **disposition.** The report provides the judge with important information about the defendant that could not be brought out in the trial. Thus the judge is better able to decide what kind of sentence will be most effective and appropriate.

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disposition: final arrangement or settlement of a case.

The Sentencing

The trial judge always does the sentencing. In Florida, for serious cases where **capital punishment** is possible, the jury is **reconvened** to recommend for or against the death penalty. The judge takes this recommendation as advice and is not bound by it. Sentencing must be entered (decided) without unreasonable delay, usually as soon as the judge receives and studies the investigation report.

The defendant appears in court with his/her attorney on the day of the sentencing. The court allows the defendant the right to **allocution**, asking for **leniency** or an alternative to imprisonment. Then the judge pronounces the sentence and advises the defendant of his/her rights and the appeal process.

Previous Sentencing Procedures

In the past, judges have had such wide discretion in sentencing that defendants convicted of the same offense could have vastly different punishments. Many defendants were routinely paroled after serving only one-third of their pronounced sentence.

Some of the options included:

1. **Probation.** Theoretically, probation is freedom under the supervision of a probation officer. However, case loads did not permit actual or effective supervision.

2. **Suspended sentence.** A suspended sentence meant freedom provided the defendant enrolled in a community treatment program or drug/alcoholic rehabilitation program. This kind of supervision had the same problems as probation.

3. **Fines.** Monetary fines were intended to be used only in nonviolent crimes but were frequently abused.

4. **Restitution.** The offender was required to compensate the crime victim, or society, through community work programs.

5. **Incarceration.** The judge could sentence the offender to imprisonment in a correctional facility for a fixed, definite, or indeterminate period. The **indeterminate sentence** often led to unjustified early release.

6. **Commitment to another institution.** Judges had great latitude in committing a defendant to a hospital or medical correctional institution.

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capital punishment: death penalty.
reconvene: to gather together once again.
leniency: being mild in punishment.
allocution: the opportunity to speak.

7. **Death penalty (capital punishment).** In some states, the use of capital punishment has been challenged in the courts as being unconstitutional. The U.S. Supreme Court has ruled that it can be used when it is not applied in a discriminatory manner. The Florida legislature updated its death penalty laws in 1972 and now allows the death penalty in cases where **due process** and **equal protection under the law** have been assured. The U.S. Supreme Court has since ruled that Florida's law is constitutional. Florida is one of 33 states where the death penalty is used.

Current Sentencing Procedures

Under the former procedures, criminals were frequently released too soon, sentences were often too lenient, and punishment for like crimes was inconsistent. As a result of this sentencing diversity, on October 1, 1983, Florida adopted the Uniform Sentencing Guidelines which all Florida judges must follow. The guidelines were developed by the Florida Sentencing Guideline Commission. The reform measures are intended to **promote "Truth in Sentencing," prevent early release of criminals,** and **provide consistency and certainty of punishment for similar criminal acts.** It follows the theory of deterrence that certainty of punishment is more effective than severity and that random, inconsistently severe sentences for the same act are ineffective deterrants.

The new system will sentence criminals by computing points on a standardized score sheet instead of relying only upon the judge's personal evaluation.

The guidelines are intended to:

1. determine sentences by computing each criminal's score
2. compute the score by a formula which assigns points to the severity of the crime, past convictions, and the degree of the victim's injury or loss
3. prescribe consistent sentences for criminals with similar scores
4. require judges to file a written explanation for sentences above or below the guidelines
5. prohibit early release by the Parole and Probation Commission of criminals sentenced under the guidelines.

The Appeal

As we have seen in Unit A on courts, a case may be reviewed by a higher court to ensure a fair and lawful trial. The defendant's appeal of a felony conviction is the last stage of the court process. The appellate court does not conduct another trial; instead, it:

- reviews the trial court records
- checks to be sure correct legal procedures and points of law were followed
- checks to be sure the judge made no errors.

The appeal can have one of three results:

1. **Agreement** with the lower court decision. If the case involves significant issues, such as violation of constitutional rights, it may continue on to the next level of appellate courts. The case could reach the U.S. Supreme Court, although only a small percent of cases do so.

2. **Reversal** of the trial court's decision. A decision may be reversed because of incorrect procedures, improper evidence admitted into the trial record, incorrect instructions to the jury, and so on.

3. **Remand** for a retrial with specific instructions from the appellate court.

After sentencing, the individual passes from the court to the corrections personnel. The unit on corrections will explain in detail the various programs, responsibilities, and functions of the corrections subsystem of the criminal justice system.

Summary

Motions to change the verdict, presentence investigation, sentencing, and opportunity for appeal are posttrial processes which protect the individual from unjust punishment. The following chart outlines the four steps and their descriptions.

Type of Process	**Description**
Motion to change the verdict	It protects the defendant from improper conviction in case of obvious error by judge, defense attorney, or jury.
Presentence investigation	The defendant's background is given to the judge.
Sentencing	The judge takes individual history and circumstances into account to arrive at the fairest punishment.
Appeal	A higher court reviews the case to ensure all procedures were legal and fair.

Now complete the review questions beginning on the next page.

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remand: to send the case back to the first court for further action.

Review Questions (II: B-3)

Write your answers on a separate sheet of paper.

1. List the **two** kinds of motions which a defendant may file to change the verdict and the reasons for each.

2. The formula for determining sentencing guidelines is based upon:

   a. past convictions, age of criminal, severity of crime.
   b. amount of fine, severity of crime, degree of victim's injury or loss.
   c. severity of crime, past convictions, degree of victim's injury or loss.
   d. degree of criminal's loss, age of victim, severity of crime.

3. Under the new sentencing guidelines, when does a judge have to file a written explanation?

4. List and briefly explain the **three** possible results of an appellate court review.

For questions 5–7, choose a term from the list on the right which completes each statement on the left. Write the letter by the number on your paper.

Statement

5. At the end of the trial, the jury finds the defendant guilty and recommends ______.

6. The defendant has a right to ______, to ask for leniency.

7. The presentence investigation report may include a recommendation for ______ of the case.

Term

a. to reconvene
b. allocution
c. to convict
d. disposition
e. punishment
f. capital punishment

Check your answers with the correct ones provided in the answer key.

Block II: The Courts
Unit C: Criminal Law
Section 1: Constitutional Foundations

Ask your instructor for the pretest for this section (II: C-1). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

Law is basic to our society. The Constitution, its amendments, and Supreme Court decisions interpreting individual conflicts with the law have shaped and influenced the criminal justice system of our country.

In this unit we will consider national law (the Constitution and certain Supreme Court decisions) and its relation to state law (the Florida Criminal Code).

In this section of Unit C, we will first review the Constitution and several amendments, considering specifically their effects on criminal justice. We will then take a closer look at three Supreme Court decisions which have had an important impact on the practices and procedures involving suspects.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the provisions of the first three articles of the United States Constitution.
2. When given a controversial situation associated with a case, identify which amendment (1, 4, 5, 6 or 14) the defense could use in arguing that there has been a violation of rights.
3. Identify the area of criminal law most affected by the decision of Mapp v. Ohio.
4. Explain the most important effect of the Miranda v. Arizona decision on criminal law.
5. Explain the most important effect of the Gideon v. Wainwright decision on criminal law.
6. Identify the definition of these terms as used in this section:
    - exclusionary rule
    - self-incrimination

The U.S. Constitution, written in 1787 and ratified a short time later, is a surprisingly short document. It is composed of a Preamble (introduction), seven articles sketching out the form of the new government, and 26 amendments (or additions).

Of concern to us in this unit are three articles, five amendments, and three Supreme Court decisions especially important to criminal justice.

The Constitution

The first three articles of the Constitution are the most significant in establishing the balance of power in the national government. This balance has influenced all levels of government and the practice of criminal law in America. The articles are summarized below:

Article I. Article I establishes the **legislative** branch of the federal government and provides for a Congress composed of the Senate and House of Representatives elected by the people. This branch of government makes the law.

Article II. Article II establishes the **executive** power of the government in the President of the United States. It provides for the presidential appointment of the Attorney General as head of the Department of Justice, the chief enforcement agency of the federal government.

Article III. Article III establishes the United States Supreme Court as the **judiciary** branch which makes final interpretations of the law and establishes a system of federal courts.

The legislative branch **makes** the law, the executive branch **enforces** the law, and the judicial branch **interprets** the law. This balance of power is an important constitutional foundation which also occurs at state, county, and city levels.

The four articles (IV-VII) not discussed here cover relations between the states, procedures for constitutional amendments, debts and treaties, and ratification.

Amendments to the Constitution

The first ten amendments are known as the **Bill of Rights** because they are the foundation for the individual, natural rights of man in relation to government. These amendments guarantee United States citizens (and others living here) specific freedoms which provide protection against an overly strong federal government. At first, Federalists argued that these amendments applied only to the national government and not the states. The passage of the Fourteenth Amendment in 1868 made it clear that states were bound to honor all protections in the Bill of Rights. Individual rights were further protected by an active

Supreme Court in the 1960s. The Supreme Court ruled on several cases and clarified that individual rights should not differ from state to state.

In this section, we will discuss four of the first ten amendments as well as the Fourteenth Amendment because they apply directly to criminal law practice and court procedures.

First Amendment

"Congress shall make no law respecting an establishment of religion, or prohibiting the free exercise thereof; or abridging the freedom of speech, or of the press; or the right of the people peaceably to assemble, and to petition the government for redress of grievances."

With the complexity of modern society, the courts have had to interpret these seemingly straightforward freedoms rather often. For example, interpreting religious freedom has recently involved the question of whether such illegal practices as smoking marijuana are legal if part of a religious ceremony (as in certain imported Carribean religions).

Freedom of speech and the press have often been challenged in pornography cases. Are people free to print whatever they like? Can a press reporter protect his/her source of information by not giving the police names, facts, or details concerning illegal activity?

Other issues arise because of mass media. Are people so influenced by newspaper and television accounts of crimes that a fair trial with an impartial jury is impossible? Does televising court proceedings hinder a fair trial by giving extra publicity to the case?

Fourth Amendment

"The right of the people to be secure in their persons, houses, papers, and effects, against unreasonable searches and seizures, shall not be violated, and no Warrants shall issue, but upon probable cause, supported by Oath or affirmation, and particularly describing the place to be searched, and the persons or things to be seized."

When cases come to trial, one of the main goals is to establish the truth of the evidence. If any evidence has been collected illegally, for example, by improper search or arrest procedures, the judge must invoke the **exclusionary** rule. That is, evidence cannot be presented in court; it has to be excluded.

Supreme Court interpretations of the Fourth Amendment have greatly influenced how evidence is collected and arrests are made to protect the individual.

Fifth Amendment

"No person shall be held to answer for a capital, or otherwise infamous crime, unless on a presentment or indictment of a Grand Jury, except in cases arising in the land or naval forces, or in the Militia, when in actual service in time of War or public danger; nor shall any person be subject for the same offense to be twice put in jeopardy of life or limb; nor shall be compelled in any criminal case to be a witness against himself, nor be deprived of life, liberty, or property, without due process of law; nor shall private property be taken for public use, without just compensation."

Several important rights are protected here. For example, a person cannot be placed in double jeopardy by more than one prosecution for the same crime. Also, since a confession is a form of **self-incrimination**, it cannot be accepted as evidence in court unless it was legally and properly obtained. A confession is **not** considered valid if it is obtained by force, threat, or long periods of questioning. Nor will a confession be admitted as evidence if the suspect has not been told his/her due process rights. A person in court does not have to "witness against himself" by answering the prosecutor's questions and may plead the Fifth Amendment.

The due process of law is an important foundation for criminal law and court procedure. According to some court decisions, the following actions are unjust because they deny such due process:

- delay in taking the accused before a magistrate
- use of excessive force
- failure to advise of the right to remain silent

Sixth Amendment

"In all criminal prosecutions, the accused shall enjoy the right to a speedy and public trial, by an impartial jury of the State and district wherein the crime shall have been committed, which district shall have been previously ascertained by law, and to be informed of the nature and cause of the accusation; to be confronted with the witnesses against him; to have compulsory process for obtaining witnesses in his favor, and to have the Assistance of Counsel for his defense."

Many court practices have developed from this amendment. Five points mentioned in the amendment are important to court procedures.

1. **Right to a speedy trial.** Based on this amendment, Florida passed a law providing that the accused must be brought to trial within 180 days of arrest. The case can be thrown out if there are delays.

2. **Right to public trial.** The trial process is more likely to be fair when conducted in public. The accused is also allowed to have friends and relatives present.

3. **Right to a jury trial.** Judging a suspect is the shared responsibility of a neutral jury that listens to both sides of a case.

4. **Confronting witnesses and obtaining witnesses in suspect's favor.** By examining and cross-examining witnesses, the attorneys may bring out underlying motives and personal relationships. The jury may be

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incriminate: to suggest the guilt of.
self-incriminate: to suggest guilt of oneself.

better able to sort out conflicting testimony by seeing witnesses representing both sides of a case.

5. **Right to counsel.** The right to have a defense lawyer, regardless of ability to pay, has become important in the court system. At first it obligated only federal courts, covered only felony crimes, and included only the time of the trial. In the 1960s and 1970s, landmark Supreme Court decisions extended the right to counsel to include:

   - all states
   - misdemeanors (when imprisonment is possible) as well as felonies
   - pretrial as well as trial proceedings.

   If the accused requests counsel but cannot afford an attorney, the state must provide free counsel. If counsel is not provided, evidence gathered during lineups, interrogations, and search and seizure activities cannot be used; it must be excluded. The defense can use the exclusionary rule to eliminate any evidence obtained when counsel is not available.

Fourteenth Amendment

". . . No State shall make or enforce any law which shall abridge the privileges or immunities of citizens of the United States, nor shall any State deprive any person of life, liberty, or property, without due process of law; nor deny to any person within its jurisdiction the equal protection of the laws."

The Fourteenth Amendment, ratified following the Civil War, seemed to mean that the Bill of Rights should protect citizens from abuse by state as well as national governments. However, in practice, these rights were not honored by all state governments. During the 1960s, Supreme Court decisions clarified that defendants in state criminal cases are entitled to the same protections as persons tried at the federal level. The right to due process of law is especially important since the Supreme Court has used this amendment as the basis for influencing change in state procedures.

Landmark Supreme Court Decisions

According to Article III, the Supreme Court interprets the Constitution, its amendments, and laws passed by legislatures. These interpretations then become law throughout the country. Let us look at three decisions which have had great impact on criminal law procedures and the court system.

Mapp v. Ohio, 376 U.S. 643 (1961)*

The main impact of this decision has been on search and seizure procedures. There are facts of the Mapp case. Police officers without a search warrant entered Ms. Mapp's residence, searching for a person suspected of running an illegal business. They did not find him or the gambling equipment. They did find a trunk with illegal pornographic and obscene materials left by a former boarder. Convicted by the Ohio lower courts which allowed such evidence, Mapp's appeal was heard by the United States Supreme Court. The Supreme Court ruled in her favor, stating that Fourth Amendment protection against unreasonable search and seizure applied to states as well and that any evidence found illegally was not admissable in court. Although the 1961 Mapp decision established the exclusionary rule, it is still controversial.

The pretrial process of making a motion to suppress evidence invokes the exclusionary rule. The defense usually bases the motion on one or more of the following facts in the case:

- seizure of evidence without a proper warrant
- face of warrant not correctly filled out (name, description, or date wrong; magistrate's signature improper or missing)
- seizure of property not described in the warrant
- no "probable cause" for suspect to have committed crime in question
- warrant illegally carried out

Miranda v. Arizona, 384 U.S. 436 (1966)

The main impact of this decision has been on safeguards against self-incrimination. In 1963, Miranda was arrested for rape and identified by the victim. He then signed a confession after being interrogated for two hours by two police officers. The confession also stated that it was given with "full knowledge of my legal rights, understanding any statement I make may be used against me." The confession was admitted at trial, a jury found him guilty, and he was sentenced to 20 to 30 years. The conviction was upheld on appeal to the Arizona Supreme Court. Miranda then appealed to the United States Supreme Court, which reversed the decision. The Court stated that confessions from defendants who had not been read their due process rights could not be used. The "full knowledge" statement was not enough; the Court emphasized that to protect the rights of the accused adequately, counsel (an attorney) should be present during interrogations.

This decision had great impact on criminal law and on police procedures. The following interrogation guidelines must be followed by all police officers when the accused is not represented by counsel. S(he) must be warned that:

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*Standard citations of court cases include the case title, the volume number of the United States Reporter, the page number, and the year. The case title lists the names of the defendant(s) and plaintiff (person or group bringing action) and separates them by a "v." representing the word "versus" (against). One can easily find case summaries and information in law libraries.

- the defendant has the right to remain silent
- anything s(he) says could be used as evidence against him/her
- s(he) has the right to counsel and to have counsel present during interrogation
- if the defendant cannot afford to pay for a lawyer, one will be appointed through the public defender system.

If, after hearing these rights, the suspect chooses to make a confession, s(he) understands that these rights are waived (given up). Only such confessions are acceptable as evidence in court.

Gideon v. Wainwright, 372 U.S. 335 (1963)

The main impact of this decision has been on the defendant's right to counsel. In this case a man named Gideon was charged in a Florida circuit court with breaking and entering, a felony. Gideon requested appointed counsel (an attorney), but the judge denied his request. Under Florida law at that time, appointed counsel was required only in capital cases where the death penalty is possible. Gideon did his best in conducting his own defense, but was found guilty and sentenced to five years. The Florida Supreme Court denied his appeal.

The United States Supreme Court reviewed the case, however, and overruled the Florida courts, stating that right to counsel was necessary for a fair trial and that this right, protected by the Sixth Amendment, applied not only to federal cases but also to state felony cases because of the Fourteenth Amendment. This right was expanded further in the case of Argersinger v. Hamlin (1972) to include any case when imprisonment is possible, whether misdemeanor or felony. No sentence involving loss of liberty can be imposed if the accused has been denied counsel.

As a result of these cases, many states have developed public defender systems which provide counsel for those who cannot afford to pay for their own defense.

Summary

The following outlines the major points covered in the material on the Constitution, the six amendments important to our court system, and the three Supreme Court decisions having a major impact on amendment interpretation:

A. The United States Constitution

1. Article I: Legislative branch makes the law.

2. Article II: Executive branch enforces the law.

3. Article III. Judicial branch interprets the law.

B. The Amendments

1. First Amendment provides for freedom of:

   - religion
   - speech
   - press
   - assembly.

2. Fourth Amendment provides against unreasonable searches and seizures and led to developments in:

   - arrest law and procedure
   - exclusionary rule
   - search and seizure procedures
   - stop and frisk procedures.

3. Fifth Amendment:

   - provides against double jeopardy and self incrimination
   - provides for grand jury indictment for serious crimes
   - provides for due process of law.
     Due process includes:
     - quickly taking the accused before a magistrate
     - not using excessive force
     - advising the accused of right to remain silent.

4. Sixth Amendment provides the basis for:

   - speedy and public trial
   - trial by impartial jury
   - informing defendant of accusation against him/her
   - confrontation of witness from both sides of the case
   - right to counsel.

5. Fourteenth Amendment clarifies that the states are to respect the guarantees in the Bill of Rights.

C. Three Supreme Court Decisions

1. Mapp v. Ohio

   search and seizure implications; clarification of exclusionary rule

2. Miranda v. Arizona

   established rights against self-incrimination and requirements of police and others to warn the defendant prior to interrogation

3. Gideon v. Wainwright

   basis for requiring right to counsel in all states; led to public defender system

Now complete the review questions beginning on the next page.

Review Questions (II: C-1)

Write your answers on a separate sheet of paper.

1. Which of the following is the source for the balance of power?

   a. Fourth Amendment
   b. Fourteenth Amendment
   c. Articles of the Constitution
   d. Bill of Rights

Match the governmental branch with its main responsibility toward law. Write the correct letter by the number on your paper.

Branch	**Responsibility**
2. executive branch	a. makes laws
	b. enforces law
3. legislative branch	c. interprets law
4. judicial branch	

Complete sentences 5-9 by writing the appropriate amendment name (First, Fourth, Fifth, Sixth, Fourteenth) for each blank on your paper.

5. If a defendant is not tried before an impartial jury, s(he) could appeal based on the ______ Amendment.

6. If a state sentences a defendant to death for a certain crime, and another state sentences someone else to life imprisonment for the same crime, the defendant in the first case would probably question whether due process of law had been followed and appeal, based on the ______ Amendment.

7. If the police enter a private residence without a proper warrant, any evidence of illegal behavior may not be accepted in court because of the ______ Amendment.

8. If a prisoner has been psychologically or physically abused during questioning, any confession s(he) makes could be thrown out during the trial because of guarantees in the ______ Amendment.

9. Suppose a reporter refuses to tell the judge the source of information for an article on criminal activity, and the judge charges him/her with contempt of court (not obeying the order of a judge in court). On the basis of the ______ Amendment, the reporter could argue that freedom of the press was being denied.

For each of the three Supreme Court decisions listed below (10-12), explain its main impact on criminal law. Write your answers on your paper.

10. Mapp v. Ohio

11. Miranda v. Arizona

12. Gideon v. Wainwright

13. Briefly define "self-incrimination."

14. Briefly define "exclusionary rule."

Check your answers with the correct ones provided in the answer key.

Block II: The Courts

Unit C: Criminal Law

Section 2: Florida Criminal Law

Ask your instructor for the pretest for this section (II: C-2). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

Criminal behavior is clarified and defined through a body of law called **criminal law.** In criminal court, the main task is to determine whether or not the accused is guilty of violating a criminal law.

In this section, you will have a brief introduction to the body of criminal law in Florida known as the "Florida Criminal Code."

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Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify by title the group of laws defining Florida's substantive criminal laws.
2. Identify the three assumptions which are important to the concept of "Rule of Law."
3. List the four elements that establish an act as a crime.
4. Identify three ways in which punishment can be increased and the possible reasons for each.
5. Identify four crimes considered to be forcible felonies.
6. Identify the key word or phrase which separates first-degree murder from second- or third-degree murder.
7. Identify the definitions or appropriate use of these terms as they appear in this section:
   - culpable
   - negligence
   - assault
   - battery
   - aggravated
   - felony
   - capital
   - misdemeanor

Basic Concepts of Florida Criminal Law

Before listing some of the laws of the criminal code, let us look at certain concepts and terms basic to criminal law.

Basic Concepts

Substantive Criminal Law

Substantive criminal law is the group of laws, or the code, which establishes what conduct is criminal in our state and what punishment is imposed for that conduct. Chapter 775, Florida Statutes, titled "The Florida Criminal Code," sets out these standards and penalties.

Criminal Procedure

Criminal procedure consists of laws for the administration of substantive law. This is the subject of Section 3 of this unit.

Rule of Law

Society must be willing to accept rules and laws prescribed by its political and social (religious institutions, schools, family) control systems so that both society as a whole and its individual members are protected. Three assumptions are important to this rule of law:

1. **There is no crime without law.** That is, boundaries of acceptable and criminal behavior are established through law.
2. **There is no punishment without law.** That is, society's right to punish wrongdoers with specific methods is established by law.
3. **There is no crime without punishment.** That is, ideally, all criminals are punished.

Elements Which Add Up to a Crime

A crime consists of four elements that must be established during a trial:

1. **Guilty act.** An overt (open) act must be committed which results in a crime.
2. **Guilty mind (mens rea).** Some criminal statutes require a prohibited act to be done by design rather than by accident. They require criminal intent or "premeditated design" to be an element of the crime. In other statutes, the commission of the act is prohibited and is a crime without regard to state of mind (the wording of the statute is the key).

3. **Harm or injury.** Often a criminal statute requires harm (physical or psychological) but provides for a lesser, included offense when actual injury or harm does not result, such as: attempted murder, assault with intent to commit murder, or other criminal "attempts."

4. **Causation.** The state must show a cause-and-effect relationship in these elements. It must show that there is criminal intent, followed by the guilty act which caused harm or injury to someone.

The "Florida Criminal Code," Chapter 775, Florida Statutes, classifies crimes into felonies and misdemeanors and provides penalties for conviction of those crimes. The following excerpts from the code serve as an introduction to the subject. For more details, refer to the code itself.

Classification of Crimes in Florida

Chapter 775 Crimes

Section 775.08 Classes and definitions of offenses.
Subsection 775.081 Felony.—The term "felony" shall mean any criminal offense that is punishable by death or imprisonment in the state penitentiary for at least one year. Felonies are further classified by the seriousness (or **degree**) of the crime, and punishment varies accordingly. When a minimum period of imprisonment has not been set by law, the judge sentences the convicted offender to an indeterminate sentence. The minimum which is set depends on the facts in the individual case.

Degree	Punishment
a. Capital felony (most serious)	Death (by electrocution) Life imprisonment—minimum of 25 years before parole
b. Life felony	Maximum—life; minimum—30 years
c. First-degree felony	Maximum—30 years; minimum—none set
d. Second-degree felony	Maximum—15 years; minimum—none set
e. Third-degree felony	Maximum—5 years; minimum—none set

Subsection 775.082 Misdemeanor.—The term "misdemeanor" shall mean any criminal offense that is punishable by a term of imprisonment in a county correctional facility for one year or less. There are also degrees of misdemeanors.

Degree	Punishment
a. First-degree misdemeanor	Maximum—one year imprisonment; minimum—none
b. Second-degree misdemeanor	Maximum—60 days; minimum—none

Subsection 775.083 Fines.—In addition to or in lieu of punishment by confinement, a person convicted of a crime may be sentenced to pay a fine. Fines are often imposed so that either the victim or society receives some compensation for the criminal act. Fines shall not exceed:

- $15,000 for a life felony
- $10,000 for a first- or second-degree felony
- $5,000 for a third-degree felony
- $1,000 for a first-degree misdemeanor
- $500 for a second-degree misdemeanor

Subsection 775.084 Extended terms.—Depending upon the background and history of the convicted offender, such as previous convictions (habitual felony offender) or dangerous behavior patterns, the basic term of imprisonment may be extended.

- First-degree felony can be extended to life.

- Second-degree felony can be extended to 30 years.

- Third-degree felony can be extended to ten years.

- First-degree misdemeanor can be extended to three years.

- Second-degree misdemeanor can be extended to one year.

Subsection 775.087 Felony reclassification for use of weapons or aggravated battery.—This statute specifies that if, during the commission of a felony, the defendant displays, uses, or threatens to use any weapon or firearm, or commits an **aggravated battery,** the felony for which the person is charged shall be reclassified as follows:

- from first-degree felony to life felony
- from second-degree felony to first-degree felony
- from third-degree felony to second-degree felony

This statute also provides for a mandatory minimum sentence of three years upon the second conviction of a crime using a firearm.

Section 775.15 Time limitations.—Included in the "Florida Criminal Code" are the statutes (laws) which place a time limit for prosecution of certain crimes. The court no longer has jurisdiction for prosecution and punishment if action is not taken within this time limit.

Federal courts and most states now have such statutes. In Florida, the following apply:

- Prosecution for a capital felony can commence (begin) at any time.

- Prosecution for a life or first-degree felony must commence within four years after the act.

- Prosecution for any other felony must commence within three years.

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aggravated: to make worse or more severe or more offensive; to intensify.

battery: unlawful striking or touching of someone's person without his/her permission.

- Prosecution for a first-degree misdemeanor must commence within two years.

- Prosecution for a second-degree misdemeanor must commence within one year.

Specific Crimes—"Florida Criminal Code"

It is beyond the scope of this text to explore in depth all of the specific statutes of the criminal code. The following is a summary of selected basic statutes. For more detailed information, you should refer to the statutes themselves (Chapters 776-798, Florida Statutes). The following list, then, introduces the criminal code and shows how it is organized. (You do **not** need to memorize chapter numbers and content.)

Chapter 776 Justifiable Use of Force

The statutes in this chapter spell out the conditions under which a private citizen or law enforcement officer can use force. In general, they allow the use of reasonable force in self-defense and deadly force only to prevent a "forcible felony" or escape of the arrested person.

Section 776.08 Forcible felony.—The following are considered forcible felonies: treason, murder, manslaughter, forcible rape, forcible sodomy, robbery, burglary, arson, kidnapping, aggravated assault, aggravated battery, aircraft piracy, use of a destructive device or bomb, and other felonies where physical force or violence against any individual is used or threatened.

Chapter 777 Principal; Accessory; Attempt; Solicitation; Conspiracy

This chapter spells out criminal liability (obligation) of persons having a role in the crime, whether present during its commission or not. Such roles include:

1. principals in the first degree—those who actually commit the crime or aid in it
2. accessories after the fact—persons who, without being present at the scene of the crime, help others to commit the crime or to escape the law after the crime
3. solicitors—those who plan a criminal act but hire another to do it (criminal solicitation)
4. conspirators—two or more people who plan an unlawful act
5. persons attempting a crime that is prevented or fails.

Chapter 782 Homicide

Homicide is the killing of one human by another. The following are selected excerpts from Chapter 782:

Section 782.03 Excusable homicide.—Death occurring by accident or misfortune from any lawful act, without unlawful intent.

Section 782.04 Murder.—This is the unlawful killing of a human being. The three degrees of murder are as follows:

1. First-degree murder—homicide which is **premeditated**, committed in an attempted forcible felony, or committed during distribution of heroin. This capital felony is punishable by death or life imprisonment.

2. Second-degree murder—homicide occurring because of an act imminently dangerous to another and careless of human life, although without premeditated design. It is a first-degree felony punishable by up to 30 years imprisonment. If, during a forcible felony attempt, someone is killed by a person not engaged in the criminal act, the person engaged in the criminal act is guilty of second-degree murder. For example, if the victim of an attempted robbery tries to shoot the offender but kills an innocent person accidentally, the person committing the robbery is guilty of second-degree murder.

3. Third-degree murder—unlawful killing by a person committing a felony without any design to cause death and not as a forcible felony is murder in the third degree, a second-degree felony.

Section 782.07 Manslaughter.—Killing a human being through **culpable negligence** without lawful justification, which is a second-degree felony, includes:

1. 782.071, Vehicular homicide.—Killing by the operation of a motor vehicle in a reckless manner, a third-degree felony.

2. 782.08, Assisting self-murder.—Deliberately assisting a person to commit suicide is manslaughter, a second-degree felony.

3. 782.09, Killing of unborn child by injury to mother.—A second-degree felony.

4. 782.11, Unnecessary killing to prevent unlawful act.—A second-degree felony.

Chapter 784: Assault; Battery; Culpable Negligence

Some typical laws of this type include:

Section 784.011 Assault.—A second-degree misdemeanor.

Section 784.021 Aggravated assault.—A third-degree felony.

Section 784.03 Battery.—A first-degree misdemeanor.

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premeditated: planned; thought out ahead of time.

culpable: deserving blame.

negligence: carelessness; neglectfulness.

assault: intentional, unlawful threat by word or act to do violence to a person, coupled with the ability to do so.

Section 784.05 Aggravated battery.—Intentionally causing great bodily harm or using a deadly weapon, a second-degree felony.

Section 784.05 Culpable negligence.—Exposing someone to personal injury through culpable negligence, a second-degree misdemeanor.

Chapter 787 Kidnapping; False Imprisonment; Custody Offenses

Some of the laws dealing with kidnapping and related crimes are:

Section 787.01 Kidnapping.—A first-degree felony.

Section 787.02 False imprisonment.—A third-degree felony.

Section 787.03 Interference with custody.—A first-degree misdemeanor.

Section 787.04 Felony to remove children from state or to conceal children contrary to court order.—A third-degree felony.

Chapter 790 Weapons and Firearms

There are 30 laws pertaining to firearms, bombs, explosives, etc. Some of the most important ones are:

Section 790.01 Carrying a concealed weapon.—A first-degree misdemeanor.

Section 790.07 Having weapons while committing a criminal offense.—A third-degree felony.

Section 790.15 Discharging a firearm in public.—A first-degree misdemeanor.

Section 790.162 Threat to throw or place any destructive device in a public place.—A second-degree felony.

Chapter 791 Sale of Fireworks

Sale of prohibited fireworks is a first-degree misdemeanor. County commissioners can grant permits for public display supervised by authorized organizations.

Chapter 794 Sexual Battery

The following is a condensation of one of the principal classifications within this chapter:

Section 794.11 Sexual battery.—It is a **capital felony** if a person 18 years or older commits sexual battery upon or in the attempt injures the sexual organs of a person 11 years or younger. If the offender is under 18, the crime is a **life felony**. A person who commits sexual battery upon a person **over** the age of 11 years, using threat or force, is guilty of a **life felony**. When the victim is physically helpless to resist or mentally defective, it is a first-degree felony.

Summary

A society governed by laws must have a code of conduct clarifying what is criminal and what is noncriminal behavior. In the United States, these codes are written and passed by national and state legislatures. The trial process establishes the facts of a particular case and allows judgment on whether the code has been broken and a crime, as defined by the law, has been committed.

The purpose for listing some of these statutes has been to show the legal standard by which judgments are made in court.

Now complete the review questions beginning on the next page.

Write your answers on a separate sheet of paper.

1. There are **three** assumptions concerning the "Rule of Law." List and explain each one.

2. In a trial, the question is often raised whether or not a crime was committed. The prosecutor may have to prove the act was a crime. What are the **four** elements that add up to a crime?

3. Briefly define each of the following according to the types of sentence for each:

   a. misdemeanor
   b. felony
   c. capital felony

4. List at least **two** ways in which an offender's punishment can be increased, with possible reasons for each.

5. Use of force by private citizens and police is justified in self-defense and preventing a forcible felony. List **five** crimes considered to be forcible felonies.

6. What is the key phrase which separates first- from second-degree murder?

7. What does the term "culpable" mean?

   a. more intense
   b. deserving blame
   c. clever
   d. forced

8. A(n) ______ felony is the most serious charge a suspect can face.

   a. capital
   b. second-degree
   c. aggravated
   d. forcible

9. Why would a criminal charge be changed from battery to aggravated battery?

   a. The suspect was to blame.
   b. The crime was an accident.
   c. The people involved were angry.
   d. The suspect used a weapon.

10. What is the meaning of the term "negligence"?

    a. carelessness
    b. forgetfulness
    c. intensity
    d. assault

Check your answers with the correct ones provided in the answer key.

Ask your instructor for the pretest for this section (II: C-3). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

The previous section focused on the Florida body of law concerned with definitions and classification of crimes and their penalties. In this section we turn to laws which establish **procedures** for carrying out criminal justice.

The American judicial system uses an "adversary" approach. That is, after a suspect has been charged with a crime, the state and the defense compete with each other to prove the defendant guilty "beyond all reasonable doubt" or innocent.

This struggle, or adversary process, takes place before a neutral judge in a courtroom. It is guided by rules of criminal procedure. In this section, we will first explore the scope of Florida's procedure laws. Then we will take a brief look at additional laws for postconviction dispositions in three categories: adult offenders, youthful offenders, and juvenile offenders.

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the function of procedural law.
2. Identify the minimum and maximum number of persons composing a regular county grand jury.
3. Identify the primary purpose of a statewide grand jury.
4. Identify the three age classifications for offenders in Florida.
5. Identify the state department responsible for children judged as delinquents.
6. Identify the correct definition of these terms used in this section:
    - disposition
    - adjudicate
    - contempt (of court)
    - writ
    - summons
    - surety bond
    - procure
    - usury
    - perjury
    - execute
    - extortion

Procedural law is the foundation which regulates how **substantive criminal law** is carried out. Chapters 900 through 925 of the Florida Statutes (the published collection of all laws passed by the Florida Legislature) set out these procedures and are collectively known as the "criminal procedure law." The following is a condensed introduction to some of the chapters, but if you are interested in reading the originals, consult your local library for the Florida Statutes.

Chapter 900 General Provisions

This chapter sets the effective date of the criminal procedure law as January 1, 1971. It gives to the circuit and county courts original criminal jurisdiction, the right to issue **writs** and other processes, and the right to punish for **contempt of court.**

Chapter 901 Arrests

This chapter spells out the rights of committing magistrates (judges) in issuing warrants, **summonses**, and other compulsory processes. In general, it covers methods of arrest and how the accused is to be brought before the magistrate. More specifically, it deals with the method of arrest by law enforcement officers, including arrest with or without warrant, stop and frisk procedures, appropriate use of force, and escapes.

Chapter 902 Preliminary Hearings

You have already been introduced to the preliminary hearing, which is a pretrial process to determine if there is sufficient probable cause to continue prosecution of the accused. The procedural rules for this hearing are set out in this chapter.

Chapter 903 Bail

This chapter deals with application for bail, qualifications of persons dealing in sureties, revocation of bail, substitution of cash for **surety bonds**, surrender of defendants who may admit to bail, and so on.

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substantive law: law dealing with rights, duties, and liabilities.

writ: a written, official order of the court.

contempt of court: any act in court which shows disrespect for or disobedience to the court.

summons: an official command to appear in court.

Chapter 905 Grand Jury

This chapter spells out the jury structure, juror qualifications, and duties of all parties involved. In all, there are over 30 provisions. A few examples are given below:

Section 905.01 Number and procurement.—No less than 15 nor more than 18 persons shall serve on the jury. **Procurement** is the same as selecting trial jurors.

Section 905.16 and 905.165 Duties of grand jury.—It inquires into every tryable offense in the county. If evidence in a case suggests a trial should be conducted, the grand jury makes a presentment.

Section 905.23 Number of jurors to return an indictment.—It takes 12.

Section 905.24 Proceedings of the grand jury.—These are to be kept secret.

Sections 905.31 through 905.40 of Chapter 905 are called the "Statewide Grand Jury Act." This act is intended to strengthen the grand jury system and to aid the state in eliminating organized criminal activity by improving the evidence-gathering process in matters which occur or have significance in more than one county.

Section 905.33 Petition to Supreme Court by governor to form a statewide grand jury.—When the governor has sufficient reason, s(he) petitions the Florida Supreme Court to form a statewide grand jury. The chief justice of the Supreme Court appoints a judge of the circuit court to preside over it.

Section 905.34 Powers and duties.—This grand jury has statewide jurisdiction in such offenses as bribery, burglary, criminal fraud, criminal **usury**, **extortion**, gambling, kidnapping, **larceny**, murder, prostitution, **perjury**, robbery, dealing in narcotics and dangerous drugs, solicitation, or conspiracy to commit any of the above if these crimes occur in two or more counties, or affect two or more counties.

Section 905.37 List of prospective jurors; impaneling of jurors; composition of the jury.—The selection of prospective jurors begins with the chief judge in each judicial circuit compiling a list of persons certified for jury duty in each of the several counties making up the circuit.

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surety bond: responsibility for assuring that the accused will appear in court at the appointed time.

to procure: to get, to obtain with special effort.

usury: lending money at an unlawful rate of interest.

extortion: obtaining money or valuable things by threat or force.

larceny: theft.

From each county list, the judge randomly selects eligible prospective grand jurors. The number per county is determined by population size: three jurors for each 3,000 residents in the county. This list is submitted to the state courts administrator.

The presiding judge (chosen previously by the chief justice of the Florida Supreme Court) compiles these county lists and selects prospective jurors at random from the statewide list.

The statewide grand jury consists of 18 members; 15 is a **quorum**.

Chapter 907 Procedure After Arrest

This chapter spells out the pretrial processes you studied in Unit B, Criminal Justice Process, including first appearance, writs, motions, and preliminary hearings. This chapter has been recently modified by Florida's 180-day speedy trial statute.

Chapter 910 Jurisdiction and Venue

A person is subject to prosecution in Florida for any violation of Florida Statutes which s(he) commits, either in state or out, by his/her own conduct or that of another for whom s(he) is legally accountable. The chapter spells out specific conditions of jurisdiction and venue (location); generally, a person is tried in the county where s(he) committed the crime.

Chapter 913 Trial Jury

Section 913.03 Grounds for challenge for cause in jury selection.—Several reasons for excusing a potential juror are mentioned here, such as lack of qualification, personal beliefs about making judgments, and relationship to one of the participants in the trial.

Section 913.08 Number of peremptory challenges in jury selection.—The number of challenges can vary between three and ten, depending on the offense.

Section 913.10 Number of jurors.—There are 12 in capital cases and 6 in all other criminal cases.

Chapter 914 Witnesses; Criminal Proceedings

This chapter spells out the responsibilities and rights of witnesses, such as attendance at trial, immunity, compensation, competency, and commitment for perjury.

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perjury: knowingly lying under oath in court.

quorum: the number required to conduct business legally.

Chapter 917 Mentally Disordered Sex Offenders

This chapter defines "mentally disordered" as "not insane but has a mental disorder and is considered dangerous to others because of a tendency to commit sex offenses."

The chapter provides for an offender's psychiatric examination and commitment to the Department of Corrections for care, treatment, and rehabilitation.

Chapter 918 Conduct of Trial

This chapter sets out the trial processes already covered in Unit B of this text, from right to speedy trial to verdict (see Unit B, Section 2). It also covers tampering with jurors, evidence, or witnesses.

Chapter 921 Sentence

This chapter sets out the details for the presentence investigation, sentencing, restitution in certain crimes, and progress reports to the Parole and Probation Commission. These subjects have been covered in some depth in Unit B, Section 3, Posttrial Processes.

Chapter 922 Execution of Sentence

This chapter covers **execution** of sentence from fine, imprisonment in jail or prison, to execution of the death sentence. It gives authority to the governor to **stay** (stop) the execution of the death sentence or to sign the warrant to carry it out.

Chapter 923 Format of Indictment, Reports, and Other Processes

This chapter outlines the format for preparing criminal reports, indictments, informations, warrants, affidavits, and other similar paperwork.

Chapter 924 Appeals

This chapter sets out appellate procedures in Florida, including the proper appeal route, bond during the appellate process, and meeting costs for indigent appellants.

Chapter 925 Miscellaneous Provisions

This chapter covers such topics as appeals of death sentences, statements or confessions of the defendant, and role of appointed counsel.

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execute: (1) to carry out; (2) to put to death.

In addition to criminal law and procedural law, the Florida Statutes set out laws related to the **disposition** of persons convicted of violating the criminal statutes. There are three age categories of conviction: adults, youthful offenders, and juvenile offenders.

Adult Persons Convicted of Felony Crimes

Disposition of convicted adults is covered by Chapter 944 of the Florida Statutes, also called "the Florida Corrections Code."

Chapter 944 Florida Corrections Code

Section 944.012 Legislative intent.—In 1975, the Florida Legislature did a study of its correctional system and determined various problems in the system at that time, along with needed improvements. Since this topic will be covered in more detail in Block III, only the result of that study is mentioned here. The Legislature's main conclusion was that Florida's correctional institutions did little to reduce crime. This conclusion led to the Correctional Improvement Plan, which was incorporated into the Florida Statutes under Section 944.023.

Section 944.023 Correctional improvement plan.—This section requires the Department of Corrections to structure a comprehensive plan, updated each year, for diagnosis and evaluation of each adult offender in relation to vocational and educational training programs as well as other rehabilitative and treatment processes.

Section 944.024 Adult intake and evaluation.—This section provides for:

- a mechanism (or way) for early identification, evaluation, and treatment of behavioral disorders of adult offenders
- diversion of offenders to community-based treatment programs whenever possible
- rehabilitative programs for institutionalized inmates.

Section 944.025 Supervision of pretrial intervention programs.—This section provides for supervision of pretrial intervention programs for persons charged with a crime before any information has been filed or an indictment has been returned in the circuit court. The program provides appropriate counseling, education, supervision, and medical and psychological treatment as available and when appropriate for persons released to these programs.

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disposition: final arrangement or settlement (of a case).

Section 944.026 Development of community-based facilties and programs.—These programs are recognized as important alternatives to imprisonment. The remainder of the code provides for operation of institutions making up the Florida corrections system through a treatment and rehabilitative approach to corrections.

Youthful Offenders Convicted of Felony Crimes

Disposition of persons between 18 and 21 years is guided by Chapter 958, known as the "Florida Youthful Offender Act" (1978). Important sections of this chapter are as follows:

Section 958.021 Legislative intent.—The purpose of this act is to improve youthful offenders' chances of rehabilitation and successful return to the community by preventing their association with older and more experienced criminals while imprisoned. Offenders who have demonstrated that they can no longer be safely handled as juveniles may be sentenced as "youthful offenders" for society's protection.

Section 958.04 Eligibility for classification as a youthful offender.—The following items are taken into consideration:

- between 18 and 21 years of age
- not previously classified as a youthful offender or convicted of a capital or life felony
- not previously convicted of a felony

Also taken into account are the circumstances of the offense and the defendant's personal history.

Section 958.05 Disposition of youthful offenders.—The following are possible sentences:

- placement on probation in a community control program
- confinement for not more than four years, followed by not more than two years in a community program
- a minimum of one year and a maximum of four years of imprisonment, plus two years in a community program, if there are aggravating circumstances such as inflicting bodily injury in the commission of a crime

Juveniles Adjudicated as Delinquent

Juvenile courts are in a special class and are considered neither civil nor criminal. Since more will be said about juvenile courts in a later unit, our discussion here concerns only lawful disposition when the delinquent act would be a felony if committed by an adult or youthful offender.

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adjudicate: to decide by law; to judge.

Chapter 959 Youth Services

These services are provided by the Department of Health and Rehabilitative Services (HRS) and include community programs and supervision for young people not committed to a correctional institution.

Section 959.011 Administration.—Administration of the activities of a youth services program will follow these guidelines:

- The department (HRS) shall be responsible for the planning, development, and coordination of a statewide, comprehensive youth services program for the prevention, control, and treatment of juvenile delinquency.
- The department shall develop and implement diversified and innovative programs to provide for treatment. Such programs may include training schools, foster homes, halfway houses, forestry camps, training ships, regional diagnostic and classification centers, detention care, aftercare, intake, probation, shelter care, individual and group counseling, volunteer assistance, prevention services, and other state and local community-based programs.

Section 959.25 Exceptional child education program.—It is recognized that a meaningful compensatory educational and work readiness program is an essential component of the treatment process for youthful offenders. This section goes on to provide for educational resources and encourages special education for learning disabilities. The programs must be certified by the Department of Education, and all children assigned to the programs must attend.

Summary

In this section, we have looked briefly at some of the Florida legislative statutes concerned with criminal procedure, including pretrial, trial, and posttrial procedures. Disposition, or sentencing, is also discussed in terms of the three categories of offenders: adults, youthful offenders, and juvenile delinquents.

Now complete the review questions beginning on the next page.

Review Questions (II: C-3)

Write your answers on a separate sheet of paper.

1. What is the function of procedural law?
2. How many persons are there on a regular county grand jury?
3. Explain the purpose of a statewide grand jury in Florida.
4. List the **three** age categories of offenders in Florida.
5. Which state department in Florida is responsible for those adjudicated as juvenile delinquents?

Vocabulary review. Match the definitions in the right column with the terms in the left column.

6. perjury
7. writ
8. disposition
9. contempt of court
10. procure

a. official order of the court
b. final settlement of a case
c. disrespect shown in court
d. to get, especially with effort
e. lying under oath
f. theft
g. official command to appear
h. to judge

Check your answers with the correct ones provided in the answer key.

Block II: The Courts
Unit D: Juvenile Courts
Section 1: Juvenile Court System

Ask your instructor for the pretest for this section (II: D-1). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

In this unit, we will look at the treatment of juveniles within the court system. The circumstances and reasons which bring a young person before the court are complex and will not be considered here. We will focus on the juvenile within the court system.

The first section is a general introduction to juvenile courts, including the history, the changing philosophy toward juveniles, and some important distinctions of the juvenile court system.

The second section summarizes some of the Florida laws concerned with the juvenile courts and the procedures for juvenile justice established in Florida.

Objectives

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Explain the influence of parens patriae on the juvenile justice system.
2. Distinguish between two kinds of wards of the state: dependent children and delinquent children.
3. Identify the terminology predominantly used in juvenile court and the corresponding terminology of the adult criminal court.
4. List and explain at least three differences between the juvenile court and the adult criminal court.
5. Identify what rights each of several Supreme Court decisions has provided in the practice of juvenile justice.
6. List and explain at least three criticisms of the parens patriae court.
7. Explain or define the following vocabulary and concepts found in this section:
   - vagrancy
   - truancy
   - incorrigible (incorrigibility)
   - adjudicate (adjudication)
   - punitive
   - parens patriae
   - solicitous
   - to waive jurisdiction

History of Juvenile Justice in America

Early Traditions

In the early years of American history, juvenile offenders were treated much like adults. They were held in prison, indicted by a grand jury, tried, and sentenced. A child as young as seven was considered responsible if s(he) broke any law. Many children were working in factories at that age, and they were looked upon as miniature adults. Many reformers, however, believed such treatment was much too harsh and inhumane.

During the 1800s, a gradual change in attitude toward the juvenile offender came about. Instead of punishing such young children and submitting them to criminal court proceedings, the court gradually took the role of guardian and protector of young unfortunates. The delinquent child was not seen as responsible for his/her acts and was considered to be in need of care and protection.

Parens Patriae

Many of the children who came under the court's jurisdiction at this time were **not** delinquents who had actually broken the law; rather, they were often from poor immigrant families and minority groups. The government had the authority to take such children from their families, see that they were educated, and train them in an occupation so they could escape a life of poverty. Dependent, abandoned, and neglected children, as well as delinquent children, were considered wards of the state. Justification for such governmental responsibility was traced to the English doctrine of **parens patriae**, where the English monarchy assumed ultimate responsibility for the welfare of its citizens, as parents are responsible for their children. Reasons for the state's taking over the care of a child included not only criminal behavior by the youth but also **vagrancy**, lack of parental care, ignorance, idleness, and vice. If the court decided that the home atmosphere was morally suspect, the child could be taken away for his/her moral welfare.

Failure of Institutions

The court next assigned these children to special institutions such as reform schools, houses of refuge, orphanages, or industrial schools, often ignoring the legal rights of these youths and their families. Legal rights were not as important as "protecting" these children. Although children were no longer placed in adult prisons, the institutions for

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parens patriae: a Latin term which means state as parent; refers to a child being a ward of the state.

vagrancy: wandering idly from place to place.

juveniles were often just as bad. Children were often overworked and ill-treated. Some were apprenticed and sent away for years, often without parental permission or knowledge. Furthermore, there was no legal process for release from such an institution. If family circumstances improved, for example, there were no provisions for the child to be returned to the custody of the parents.

These institutions were seen as failures by many, though the original reasons for establishing them might have been good. They did not really protect or reform the youths and, in fact, often made things worse for the child and the family. Many began to believe that more could be done for such children by having the courts stay in closer contact with them.

Development of the Juvenile Court System

A landmark in the juvenile justice system came in 1899 when the Illinois legislature established the first statewide juvenile court system. The first juvenile court was located in Chicago (Cook County), Illinois. The juvenile court idea quickly spread throughout the country, though the approaches and practices of these various courts were often quite different.

Based on the concept of parens patriae, the juvenile court was to be the protector of the child in unfortunate circumstances. Its focus was **preventive,** so that children were not brought into court for crimes committed but for actions which might lead to crime, such as idleness, vagrancy, **truancy**, and **incorrigibility.** The judge often acted as a social worker or psychologist. The judge was expected to put **punitive** justice aside and prescribe the appropriate treatment for each child based on his/her background and circumstances. As much as possible, such children were not to be treated as criminals, but as children in need of aid, encouragement, and guidance. Probation and rehabilitation was (and still is) the preferred approach to correction.

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truancy: being absent from school without permission.

incorrigibility; from **incorrigible:** bad almost beyond hope of correction; that which cannot be changed.

punitive: punishing; inflicting punishment.

Civil vs. Criminal Court Proceedings

For about 60 years, between the establishment of the juvenile courts and the Kent decision of 1966 (explained later in this section), this attitude of guidance was dominant in the juvenile courts. They were civil rather than criminal courts. The child in court was thus spared the stigma of having a true criminal record. Proceedings were held secretly with no sworn witnesses to testify or to observe. Records were informal or nonexistent. The judge was expected to be kindly and concerned rather than harsh and critical. However, this ideal was often thwarted by financial and social realities.

In this civil court, the juvenile lost certain protections which were guaranteed in an adult criminal court. What was intended as a protection often turned into the violation of basic due process rights.

The Changing Juvenile Court Philosophy

Even during the years when parens patriae was most popular in juvenile court, the court was criticized on various points. The following four arguments were the most common:

1. **Loss of certain protections.** The most serious criticism was that the informality of civil court proceedings caused certain protections guaranteed in criminal court to be lost. What was supposed to be fair treatment for the child often could be unfair. Legal rights that were lost by juveniles included the proof of guilt, the rules of evidence, the right to confront witnesses, trial by jury, right to legal counsel, right to appeal, and the right to remain silent.

2. **Lack of resources for the system.** Another criticism was that the personnel associated with the system, such as the judges and probation officers, were **not** specialists in psychology, sociology, or social work. They were not trained well for the task of choosing the ideal treatment for each offender. The court system was only a tool for correction and could not become a social agency to solve society's ills.

3. **Inability to reform offenders and/or protect society.** As the rate of juvenile delinquency increased, the welfare of society became more of a concern. The system was considered too lenient toward the juvenile offender, especially the repeat offender. Some critics expressed the idea that if the juvenile offender could not or would not be reformed, then s(he) should be punished.

4. **Too harsh a system.** Critics pointed out that children were being taken into custody for behavior which would not be considered criminal in an adult, such as truancy, vagrancy, and other actions which might harm the child. A child and an adult often would face different punishments for similar offenses: a child might be committed to a state school for several years, whereas an adult might only be fined.

Supreme Court Decisions

Opponents of the parens patriae philosophy and the particular judicial system it led to became more numerous and vocal. Reflecting these changes in opinion, the Supreme Court ruled on several cases which influenced the juvenile court system. These decisions have sought to achieve balance between the protective, informal proceedings of juvenile court and procedural orderliness which also protects certain rights. Summing up the difficulties faced by the young offender, in Kent v. United States (1966), the Supreme Court stated: ". . . the child receives the worst of both worlds: he gets neither the protections accorded to adults nor the **solicitous** care and **regenerative** treatment **postulated** for children." We will now look at five of the most important Supreme Court decisions leading to changes in the treatment of juvenile offenders.

1. **Shioutakon v. District of Columbia (1956).** The decision in this case established the requirement of legal counsel in juvenile courts, as in adult criminal courts, throughout the United States. Juvenile court officers and judges must now advise the juvenile of his/her right to counsel (to have a lawyer), and care must be exercised that any **waiver** of this right be done intelligently and with full knowledge. If the juvenile cannot pay a private lawyer, the court must appoint counsel. Now both the prosecutor and the public defender participate in the juvenile court procedures.

2. **Kent v. United States (1966).** This decision permits the transfer of a serious juvenile case to the adult criminal court, but only with "sufficient procedural regularity" that satisfies basic constitutional requirements of fundamental fairness and due process. The juvenile is entitled to a hearing, and his/her counsel can see all records used by the court in making the decision. The decision requires the juvenile judge to make a statement of record for the decision to **waive jurisdiction.**

3. **In re Gault (1967).** The decision in the Gault case is a landmark decision regarding juvenile court proceedings, and a serious student of juvenile court procedure should obtain and study it carefully. It is summarized here.

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solicitous: full of concern; anxious.

regenerative: to cause to be morally or spiritually renewed; to give new life to.

postulated: demanded or claimed.

to postulate: to accept as true without proof.

waiver: setting aside.

to waive jurisdiction: to give up the right to handle the case (intended so it can be tried in adult instead of juvenile court).

a. Notice of compliance with due process requirements must be given in advance of court proceedings to give parents and children the opportunity to prepare for a trial. The alleged misconduct must be set forth in full.

b. Notification of the child's right to counsel must be given and counsel must be appointed if the juvenile cannot pay.

c. The juvenile, like any adult defendant, must be fully advised of the privilege against self-incrimination.

d. The right to confront witnesses and cross-examine them is established.

e. The right to record the proceeding and to have an appellate review is established.

4. **In re Winship (1970).** In this case, the United States Supreme Court ruled that the due process clause of the Constitution requires the state to prove a juvenile's guilt beyond a reasonable doubt when a law has been violated, just as in adult criminal trials.

5. **McKeiver v. Pennsylvania (1971).** The question addressed in this case was whether a juvenile had a right to trial by jury. The court concluded that it is not constitutionally required, however, it is the state's privilege to grant a trial by jury in the juvenile court. This decision underlined a basic difference between the juvenile court and the criminal court.

Significance of Changes

With the continuing rise in juvenile crime and increasing violence, society generally has been moving from a position of tolerance toward the juvenile delinquent to one demanding stricter punishment of the offender. There has been a shift from the philosophy of protection and guidance based on parens patriae to applications of adult criminal court processes. Judges have themselves requested the authority to deal more strictly with juveniles in certain situations. Parallel to these views are those which demand due process rights for juveniles: if juveniles are going to be treated like adults in court, they should have equal protection.

Some Distinctions in Juvenile Justice

Are all juvenile wards of the state treated alike?

No, not now. As we have seen, there were times in history when all wards of the state were grouped together, and the processes they went through were the same. In Florida (and in most states), there is now a clear distinction between:

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- the child who has committed a delinquent act, meaning a felony, a misdemeanor, or the violation of a local penal ordinance and
- the child who is found to be dependent because of being abandoned, neglected, or abused by parents or because of habitually running away, being truant from school, or being disobedient of parents' reasonable demands.

These two groups of children are treated differently by the court. The delinquent child is more likely to appear in court (although only a small percentage do). Details of court procedures will be discussed in the next section.

Dependency cases in most states are handled by a social services department. In Florida, the Department of Health and Rehabilitative Services helps these children through its various programs and facilities. These children do not generally appear in juvenile court, although court actions are taken which affect them (adoption, foster home placement, and so on).

Are juvenile delinquents now treated just like adult criminals in court?

In most cases, no. Although there are more similarities than there used to be, and society is demanding harsher punishment of the juvenile delinquent, there are important differences.

- The **goals** of **adjudication** are different. Rather than judging and punishing the offender, the juvenile court tries to rehabilitate or treat the young offender.

- The **atmosphere** of the courtroom is different. In juvenile court, it is less threatening and less formal than in criminal court. In juvenile court, a balance is attempted between too much informality (where constitutional rights are put aside) and too much legalism (which may lead to ignoring the problems and circumstances of the individual child).

- The **language** used in court is different. The influence of parens patriae is evident in the terminology used in juvenile court today. The language is meant to sound less harsh. For example, the child offender is brought before the juvenile court by a summons, rather than an arrest warrant. Instead of a complaint or an information, which begins the adult judicial process, a **petition** is filed by the state attorney. A petition states what the alleged offense is.

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adjudicate: (verb) to consider and decide by law.

adjudication: (noun) judgment.

adjudicatory: (adjective) for purpose of judgment.

finding-of-involvement: legal terminology indicating that a person is guilty of an offense.

The juvenile does not have a trial. Instead, the judge decides the case at the **adjudicatory hearing**. If found guilty by the juvenile court judge, the child is not convicted. Rather, the judge declares the juvenile to be delinquent in a **finding-of-involvement**. The determination of what happens next is not sentencing but a **disposition**. At the **dispositional hearing**, the judge assigns the juvenile to one of several treatment, education, or work programs; this assignment is often community based.

Are there ever occasions when juvenile delinquents are treated as adults in court?

Sometimes, yes. When a serious crime has been committed, the jurisdiction of a case can be moved from the juvenile court to the adult criminal court, but only after an appropriate hearing. The state attorney presents the case in juvenile court, explaining why it should be moved. The juvenile and his/her counsel present their side as well. Then the juvenile court judge makes a decision after reviewing the circumstances of the case. If s(he) agrees with the state attorney, the juvenile judge will waive jurisdiction so that the case can be moved into the adult criminal court.

Current Problems in the Juvenile Court System

The primary problem in juvenile courts, as in all other criminal justice agencies, is one of overload. In the 1980s, the resources of the juvenile courts, criminal courts, police, and adult corrections have not increased in proportion to the number of clients. Any long-range solutions must increase the resources of our criminal justice systems to cope with the increase in responsibilities.

The distribution by age of those persons arrested in Florida during 1982 continues to illustrate the involvement in criminal activity by juveniles. Nearly 5.0 percent of all persons arrested for the year were under the age of 15, 13.8 percent were under 18, and 26.8 percent were under 21.

An evaluation of all reported arrests for violent crimes in 1983 indicates that many persons arrested for such crimes were juveniles: 15.1 percent of the persons arrested for forcible rape were under the age of 18, 13.2 percent of those arrested for aggravated assault were under 18.*

The following are comments on the effectiveness of the juvenile courts in responding to juvenile arrests.

One juvenile court judge said, concerning leniency:

"I advocate a system where you could sentence 14- to 18-year olds differently. . . . For offenders 14 or below, you shoot the works with rehabilitation. For those over 14, you give the juvenile court judge the same authority that criminal court judges have. Let him sentence the kid up to five years. The kids would then have a lot more concern about coming to juvenile court."*

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* Florida Department of Law Enforcement, Crime in Florida. 1983 Annual Report. Tallahassee, Florida: State of Florida, 1984.

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A retired police captain said:

"The biggest problem we have within society is lack of accountability. We have to start with society's method for socializing youngsters into adults, the breakdown of the family, the breakdown of the schools, the breakdown of the responsibility by basic social control systems. We don't play by the same rules we used to. So many people beat the system that it has become a way of life. I'm talking about personal individual accountability to the extent that if a person commits a crime, he or she knows they are going to be apprehended and that a sanction is going to be imposed. We don't have that now, we haven't had it for a long time."**

Another juvenile judge described four major categories of violent delinquents:

1. the emotionally disturbed or mentally ill
2. the intellectually deficient
3. the inadequate and undersocialized personality
4. the sociopath

"Teenagers falling into the third category, I believe, make up by far the largest pecentage of violent or serious offenders. These are youths who because of a lack of proper parental nurturing and inadequate early childhood development have not gained the skills necessary to function in society."

He goes on to make suggestions for change: "I propose that in its efforts to deal with violent juvenile offenders the federal government should help to develop and support an activity-oriented system to replace the traditional counseling-oriented system. This proposal includes prompt punishment (perhaps by pure incarceration) for short periods of time immediately following the delinquent act, so that the youth will make the connection between the act and the consequence. There must also be immediate consequences for misdeeds throughout the term.

"My suggested program includes a period with strong emphasis on challenges and rewards for success. There must be emphasis on the work ethic, responsibility, discipline, desirable work habits, the development of job skills, and, above all, great emphasis on basic education."***

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* From interviews with Judge Seymour Gelber, Dade Circuit Court, in the Miami Herald, Dec. 9, 1981, pp. 1A and 12A.

** William McClure, personal communication, August, 1983.

*** Judge William E. Gladstone, Dade Circuit Court, Juvenile Division. From prepared statement to the U.S. Senate Subcommittee on Juvenile Justice, 1981.

Summary

Historical Outline

1. Until the 1800s, children over six were treated as adult criminals. (Delinquency and dependency were poorly defined.)

2. Failure of 19th Century institutions to help or reform disadvantaged youths

3. Philosophy of parens patriae and court as caretaker

   - first juvenile court system: Illinois, 1899
   - court was to prescribe treatment for rather than punish the youths
   - civil rather than criminal court
   - informal proceedings

4. Concern for protecting juvenile's rights and assuring due process when a child's freedom is at stake.

   Supreme Court decisions:

   - Shioutakon v. District of Columbia (1956)
     - — provides right to legal counsel
   - Kent v. United States (1966)
     - — requires proper hearing before case can be transferred from juvenile to adult court
   - In re Gault (1967)
     - — requires adequate notification to parents and child about hearing
     - — requires right to legal counsel
     - — provides protection against self-incrimination
     - — provides right to confront witnesses
     - — provides right to appeal
   - In re Winship (1970)
     - — requires that juvenile must be proven guilty beyond reasonable doubt
   - McKeiver v. Pennsylvania (1977)
     - — trial by jury **not** required in juvenile court

Important Distinctions

1. Wards of the state are different and thus are treated differently.

   - Dependent, neglected, abused children are not often brought to court (such cases are handled by another state agency).

   - Delinquent children are more likely to appear in juvenile court.

2. The juvenile court system differs from the adult criminal court system in three basic ways:

	Juvenile Court	**Criminal Court**
Goals of Adjudication:	Rehabilitation, treatment	Punitive judgment
Atmosphere in Court:	Informal proceedings (but with due process)	Formal proceedings
Language:	1. summons 2. petition 3. adjudicatory hearing 4. finding-of-involvement 5. disposition	1. arrest warrant 2. complaint or information 3. trial 4. conviction 5. sentencing

Now complete the review questions beginning on the next page.

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Review Questions (II: D-1)

Write your answers on a separate sheet of paper.

1. List **two** influences which parens patriae had on the juvenile justice system.

2-5: Concerning wards of the state, indicate whether each statement is True or False. Write T or F by the number on your paper.

2. Delinquent and dependent children were once treated the same by the court.
3. Neglected children today are helped most by the kindly juvenile court judge.
4. Dependent children rarely have to appear in court.
5. The delinquent child is one who violates a law or who skips school often.

6-9: For each term on the left, choose its corresponding term on the right. Write the letter of the term by the number on your paper.

6. finding-of-involvement
7. adjudicatory hearing
8. summons
9. disposition

a. trial
b. arrest warrant
c. sentencing
d. conviction
e. complaint

10. What are the **three** main differences between the juvenile court and the adult criminal court discussed in this section? List and briefly explain each.

11-15: For each of the rights below, identify which of the Supreme Court decisions (a-e) protected that right in the juvenile court system (some decisions may be used more than once). Write the letter for the decision by the number on your paper.

Rights

11. must prove guilt beyond reasonable doubt
12. right to legal counsel
13. right to confront witnesses
14. right to hearing before case is transferred to court
15. right to appeal

Decisions

a. Shioutakon v. District of Columbia
b. Kent v. United States
c. In re Gault
d. In re Winship
e. McKeiver v. Pennsylvania

16. List **four** criticisms of the philosophy of parens patriae and the juvenile court system it led to.

Match the words (a-f) and definitions (17-20).

17. Someone who is ______ cannot be corrected or easily changed.

18. Ideally, the juvenile court system was to be ______ toward the young offender.

19. In general, adult criminal court is more ______ in its judgment than juvenile court.

20. When one is ______ as a juvenile offender, treatment is the goal.

a. truancy
b. solicitous
c. adjudicated
d. incorrigible
e. vagrancy
f. punitive

Check your answers with the correct ones provided in the answer key.

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Block II: The Courts
Unit D: Juvenile Courts
Section 2: Florida Juvenile Court Laws

Ask your instructor for the pretest for this section (II: D-2). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

In this section, we will be discussing the legal foundations for juvenile courts in Florida. Keeping in mind what you have read about the history of juvenile justice, you may see in such legislation an attempt to balance the attitude of parens patriae with concern for safeguarding the child's rights. There are clearly established procedures for the adjudication and disposition of juvenile cases which protect the individual's rights. In addition, there are programs which treat the problems of the juvenile delinquents in order to help them function in society. We will be discussing some of these procedures and programs.

Since the primary concern is for the young offender and his/her circumstances, the juvenile delinquent comes in contact with more than one governmental agency. In the process of finding justice, the best treatment, or rehabilitation for each child, many people take part. In this section, we will also consider the roles of the different governmental agencies, their personnel, and how they interact in juvenile cases.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the court which has original jurisdiction over all matters concerning the custody and welfare of children in Florida.
2. State the short title of Chapter 39 of the Florida Statutes.
3. List at least three purposes of Chapter 39.
4. Identify the roles and decision-making responsibilities of: the law enforcement officer, the intake counselor, the state attorney, and the juvenile court judge.
5. Identify the following terminology used in this section:
   - petition for delinquency
   - complaint
   - detention hearing
   - waiver hearing
   - adjudicatory hearing
   - disposition hearing
   - community control
   - predisposition report
   - intake
6. List **in order** and briefly summarize the decision points in the juvenile justice process.
7. State how long the court has jurisdiction over a child once that child has been found delinquent.
8. List at least three criteria which should be taken into account when deciding whether or not a juvenile is to be tried in adult criminal court.
9. Define the following vocabulary words:
   - discreet/discretion
   - sanction
   - restitution
   - to divert/diversion
   - to waive/waiver
   - to adjudicate/adjudicatory
   - disposition

The principal legal foundation for juvenile courts and case dispositions in Florida is found in the Florida Statutes.* The following chapters concerned with juvenile justice and juvenile care are covered in this section:

Chapter 26: establishes legal jurisdiction in juvenile cases
Chapter 39: called the Florida Juvenile Justice Act

Jurisdiction of Juvenile Courts

Chapter 26 of the Florida Statutes provides that juvenile courts fall within the jurisdiction of the state circuit courts (see Unit III: A-2). The section states that:

> ". . . the circuit court has jurisdiction over all matters concerning custody and welfare of children . . . . When a judge acts in the juvenile division of circuit court, he acts under certain rules and statutes peculiar to that area of law, and a juvenile judge may have exclusive jurisdiction within the limited areas of law governing juveniles."

Thus, when a case of juvenile delinquency comes into the court system, in the majority of cases the circuit court becomes involved. The circumstances for changing the jurisdiction of a particular case will be discussed later in this section.

The Florida Juvenile Justice Act

Chapter 39 of the Florida Statutes covers in detail the procedures for handling many juvenile delinquency cases. (Procedures for dependency cases are also included, but will not be discussed in this section.) This chapter is called the Florida Juvenile Justice Act.

Purposes of the Act (39.001)

Stated at the beginning of the chapter are several established purposes of the Act and the juvenile justice system, including:

1. to protect society by strengthening the use of offender rehabilitation and rehabilitative **restitution**, and to apply **sanctions** appropriate to the seriousness of the offense

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*Florida Statutes, 1981, prepared by the Statutory Revision Division, Tallahassee, Florida: State of Florida, 1981.

restitution: repayment for loss or damage.

sanction: penalty for violation of a law.

2. to protect delinquent, neglected, or mistreated children who are brought to the court's attention, making sure to protect their moral, emotional, mental, and physical welfare.

3. to assure that the prosecution and disposition of a child charged with a criminal offense be conducted with **discretion**, and that all findings are based upon facts presented at a hearing that meets constitutional standards of fundamental fairness

4. to provide procedures which assure fair hearings, during which the parties' rights as citizens will be protected

5. to preserve and strengthen the child's family by leaving the child in the parents' custody unless his/her welfare or the safety of the public is endangered.

In summary, this legislation seeks to protect the child, the family, and society. When the interests of these parties conflict, the juvenile court will attempt to find the best balance among these interests.

Juveniles in the Justice System

Suppose you are a juvenile who has been accused of committing a delinquent act. Who are the people you will encounter? What decisions will be made about you and your future? Will your rights be protected? Will you be sent to prison? The steps you will probably go through are outlined in Chapter 39 of the Florida Statutes. It may be helpful to think of the whole process as a series of decision points. During the first few steps, there is the possibility that if the offense is not serious, you might be released to your parents (or guardians). You could be asked to participate voluntarily in a counseling or treatment program. Only a small portion of juveniles accused of an offense will actually go through all of the decision points listed here.

1. **Report of the law enforcement agency (39.01)**

   Following a crime and investigation, suppose you are taken into custody as a likely suspect by the law enforcement agency. Officers of the police department may hold informal hearings with you and your parents (or guardians). Depending on the seriousness of the offense, your attitude, your background, and the assurances of your parents that they will take responsibility for you, there is a possibility that you will be released at this stage. The first decision—whether or not to release you—will be made by the local law enforcement people.

   If you've been in trouble before, or if the offense is quite serious, the law enforcement officer will write a report of the offense to the Children, Youth, and Families section of the Department of Health and Rehabilitative Services (HRS). Depending on the first decision, your case then proceeds to either decision point 2 or 3.

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discretion: the quality of being discreet (adj.)—being careful and prudent in judgment.

2. **Detention (39.032)**

If there is reason to believe that your freedom should be restricted, you might be placed in either a "crisis home" or a detention center, but not in a prison. The law enforcement officer and the intake counselor (see below) will make that recommendation together. The law clearly states that your parents and the court should be notified immediately. Then, within 24 hours, the circuit court must hold a detention hearing to decide whether detention should be continued. Detention may also be nonsecure, which means that you would remain at home, although considered to be in the custody of the HRS. You would be seen daily by an HRS staff person.

3. **Intake of the report or of a complaint (39.04)**

The person working in the HRS who receives the report about the offense is called the intake officer or counselor. This counselor may also accept complaints from anyone who has knowledge of an offense involving a juvenile. Either the law enforcement report or a complaint may start the juvenile justice process.

The intake counselor studies the report or the complaint in order to decide what will be the next step for you. This person is often trained in social work, counseling, psychology, or similar fields and looks at the child's total situation. This is another decision point which could **divert** you out of the justice system. When the intake counselor believes your behavior can and should be improved, you could be referred to one of several programs. Often you and your parents will voluntarily agree to participate in such a program, which may include counseling, community service work, treatment, special training, etc. If you do choose to participate, you can probably avoid the next steps in the juvenile justice system. The decision to divert you will be reviewed before being approved by the state attorney.

On the other hand, if it seems there has been a rather serious violation of law, the intake counselor may recommend that the state attorney file a **petition for delinquency**, which is a request to move the case to adult court. The intake counselor has 20 days to make this recommendation; however, if the child is in detention it must be made within 24 hours.

4. **Decision of the state attorney (39.04, 39.05)**

If you are still in the system, the next major decision point is whether you should be brought to court and, if so, to which court? The state attorney, who represents the state in such cases, receives a copy of the law enforcement report and the recommendation of the intake officer and makes the next decision. However, the state attorney does not have to wait for the intake officer's report and may take action without it.

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to divert: to turn from one course to another.

At this point, several things could happen to your case:

a. The state attorney could decide to dismiss the case; this might happen if a deadline had passed, for example.

b. The state attorney could approve a diversionary program, as recommended by the intake counselor.

c. The state attorney could transfer the case to the adult criminal court system. In cases involving the most serious offenses, such as armed robbery and murder, the state attorney could file an **information** or refer the case to the grand jury.

   For a borderline case involving a rather serious offense, the state attorney could file a motion for a **waiver** with the juvenile court to move the case. A waiver hearing is then held. At this hearing, jurisdiction of the case can be waived so that the case would pass to the adult criminal court. At the waiver hearing, several factors about the juvenile are taken into account, such as: (1) previous offenses committed, (2) the circumstances of the present offense, (3) personal history and background, and (4) public protection. If the judge agrees to waive jurisdiction in a particular case, the judge must give the reasons for recommending adult sanctions.

d. If the state attorney believes you may have committed a delinquent act, s(he) files a **petition for delinquency** with the juvenile court. You have the right to counsel and the right to remain silent (39.07). If you decide to admit that you did commit a delinquent act, you would skip the next step, the adjudicatory hearing, and go on to the disposition hearing.

   Before these hearings, the court may order medical, psychiatric, psychological, or educational examinations as well as treatment for you (39.08).

   Next, you will receive a summons to appear in court at a specified time. Once you receive that summons, you are legally under the control of the court.

5. **Adjudicatory hearing (39.09)**

As you go to court for your adjudicatory hearing you may feel a little nervous. You wonder if the judge will be fair. Your attorney has told you that if you tell your side of the story, this judge will listen very carefully. You wonder if s(he) will believe you or the opposing witnesses.

In the Florida Juvenile Justice Act, several safeguards are mentioned to protect your rights during this hearing, including:

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waiver: the act of intentionally relinquishing a known right.

to waive: to set aside.

- the right to a speedy trial (within 45 days)
- respect for the rules of evidence (see II: B-2)
- the use of language that you (the accused) will understand
- the establishment of evidence proving beyond a reasonable doubt that a delinquent act was committed by the accused
- the right to introduce evidence in your behalf and cross-examine witnesses
- the right to protect yourself by remaining silent
- the right to public proceedings.

The purpose of this hearing is to decide whether or not you committed the alleged delinquent act. There is no jury; the judge alone decides whether you have or have not committed a delinquent act.

If, at this hearing, the judge decides you are innocent, your case will be dismissed, and you will be released.

If, on the other hand, it is found that you have committed a delinquent act, you will proceed to step 6, the disposition hearing. However, it is not the same as being convicted of a criminal offense; you will not have a criminal record nor will you lose any civil rights. However, once it has been found that you are a delinquent child, the court may have jurisdiction over you until you reach the age of 19.

Before reaching step 6, the disposition hearing, the HRS intake counselor will prepare a **predisposition** report. Your home environment, background, education, history, etc. are summarized in this report. The judge may also request that studies or tests be done by other agencies or parties. If commitment to HRS is being recommended, part of the predisposition report will include a list of three HRS programs that might benefit you.

The court will consider these reports and will also review records of earlier judicial proceedings before step 6, the disposition hearing. Your legal counsel and the state attorney will receive copies of these reports before the hearing.

6. Disposition hearing (39.09, 39.11)

Suppose it is found that you did commit a delinquent act. You will have to pass through yet another decision point in the juvenile justice system, the **disposition** hearing. During this hearing, the judge will decide which is the most appropriate program or penalty for you based on the recommendations in the predisposition report and any other tests or studies that have been done.

The judge will begin the hearing with a statement explaining the purpose of the hearing. S(he) will then ask how you feel about the offense, the harm done, and which penalty you think you should pay.

Several people may then comment on the issue of disposition and on any proposed plan of action. These people include your parents or

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predisposition: from **disposition**—final arrangement or settlement (as in a case).

guardians, your legal counsel, the state attorney, HRS personnel, the victim or a representative, school representatives, etc.

The judge's decision depends upon several things, such as how serious the damage was that you have done to the community, whether the offense was committed with violence, whether anyone was hurt, what prior contacts you have had with the police, the courts, or HRS personnel, how likely it is that rehabilitation can help you, and your history as shown in the predisposition report.

What are the possible penalties? Whenever possible, children are **not** institutionalized; that is, they are not committed to HRS unless it is absolutely necessary.

It is more likely that you will be assigned to a community control program, which is a type of probation. You would be supervised by an HRS youth services counselor. You would live at home under certain restrictions and obligations. For example, you might be required to do a number of hours of community service or to take a job and make restitution to the victim. You may be required to attend a treatment program or to see a counselor on a regular basis.

If a child is committed to the department (HRS), there are several programs that vary in the intensity of supervision. In the predisposition report the judge selects three programs which are presented in order of preference. One such program is the halfway houses, where 28 to 30 juveniles live under strict supervision. Some programs allow the children to sleep at home and participate in their training or treatment during the day. The most serious alternative is a training school, where children are in residence for several months. These alternatives will be covered in more detail in III: F-1.

If you wish to appeal the decisions made in your case, an appeal should be made within 30 days to the district court of appeals. Only your initials and court case number would be used, and records are closed to the public.

7. Release decision

The last decision point in the juvenile justice process is whether and when you should be released or discharged by the department. The time spent in HRS programs is not fixed, but the statutes clearly state that a child cannot be committed to HRS for a longer period of time than the maximum sentence an adult would serve for the same offense. At any rate, when a child turns 19, the jurisdiction of the juvenile court and commitment to HRS ceases.

In order for a child to be released, his/her counselor in the HRS program must recommend release from this commitment. The juvenile court judge reviews the request before making the decision to accept or reject it.

Flow through Florida Juvenile Justice System

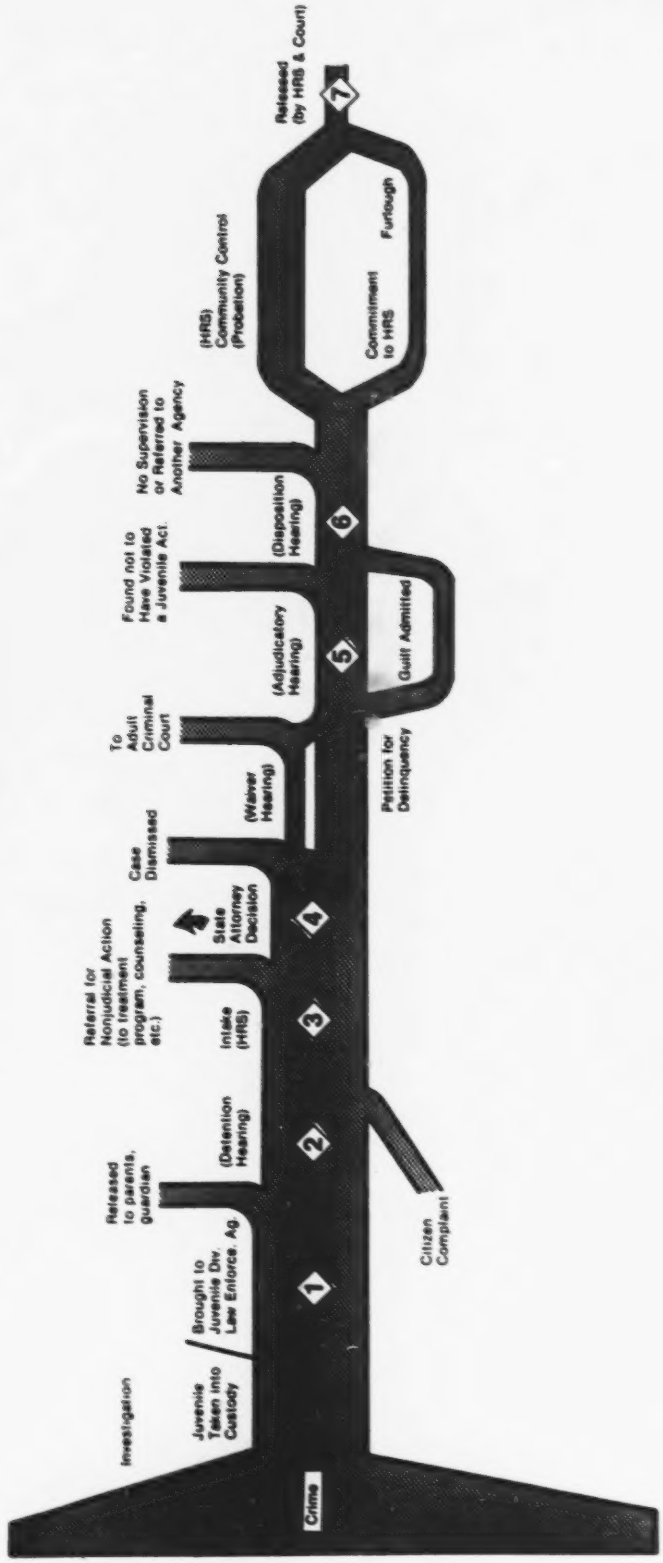
Crime
Investigation
Juvenile Taken into Custody
Brought to Juvenile Div. Law Enforce. Ag.
1
Released to parents, guardian
(Detention Hearing)
2
Citizen Complaint
Intake (HRS)
3
Referral for Nonjudicial Action (to treatment program, counseling, etc.)
State Attorney Decision
4
Case Dismissed
(Waiver Hearing)
To Adult Criminal Court
Petition for Delinquency
(Adjudicatory Hearing)
5
Found not to Have Violated a Juvenile Act
Guilt Admitted
(Disposition Hearing)
6
No Supervision or Referred to Another Agency
(HRS) Community Control (Probation)
Commitment to HRS
Furlough
7
Released (by HRS & Court)

Figure D-2-1

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Summary

Review of the Decision Points

Figure D-2-1 summarizes the procedures and seven decision points just discussed. The change in the thickness of the line is an approximation of the relative number of cases disposed of at various points.

The following percentages indicate what happens to juveniles following their arrests. This information is included in the 1982 Florida crime report.*

25.2 %	handled directly by law enforcement agencies and released
71.2 %	referred to juvenile court or juvenile authorities
.9 %	referred to welfare agencies
.2 %	referred to other law enforcement agencies
2.5 %	referred to criminal or adult court

How Agencies Interact

You may have noticed in the description of procedures that there is quite a bit of interaction among the various government agencies and personnel. In fact, there may be too much red tape and bureaucratic delay. However, there are at least three advantages to this system over a more streamlined one. The first advantage is that there is ample opportunity to analyze each situation carefully and choose the best program, treatment, or penalty for each child. Secondly, the juvenile justice system does safeguard the rights of juveniles. And finally, at each decision point several people contribute to the judgement made. Notice that the procedure included **recommendations** (often in the form of reports), **decisions** based on recommendations, and **reviews of decisions**. As a case moves through the juvenile justice procedure, it is seen and analyzed from several different angles, including: the social (law enforcement), the personal (HRS), and the judicial (court). Hopefully, the combined contributions benefit the child as well as the family and our society.

This chart shows how each decision involves more than one person. Much of the interaction is optional (not all cases are reviewed by the appellate court, for example).

Decision Points	Recommendations	Decisions	Review of Decisions
1.	Law enforcement officer	Law enforcement officer	HRS (intake counselor)
2.	Law enforcement and HRS	Juvenile court judge	—
3.	HRS (to court)	State attorney HRS (to divert)	Judge
4.	—	State attorney	Judge
5.	—	Judge	Appellate court
6.	HRS	Judge	Appellate court
7.	HRS	Judge	—

---

*Florida Department of Law Enforcement. Crime in Florida, 1982 Annual Report. Tallahassee, Florida: State of Florida, 1983, p. 85.

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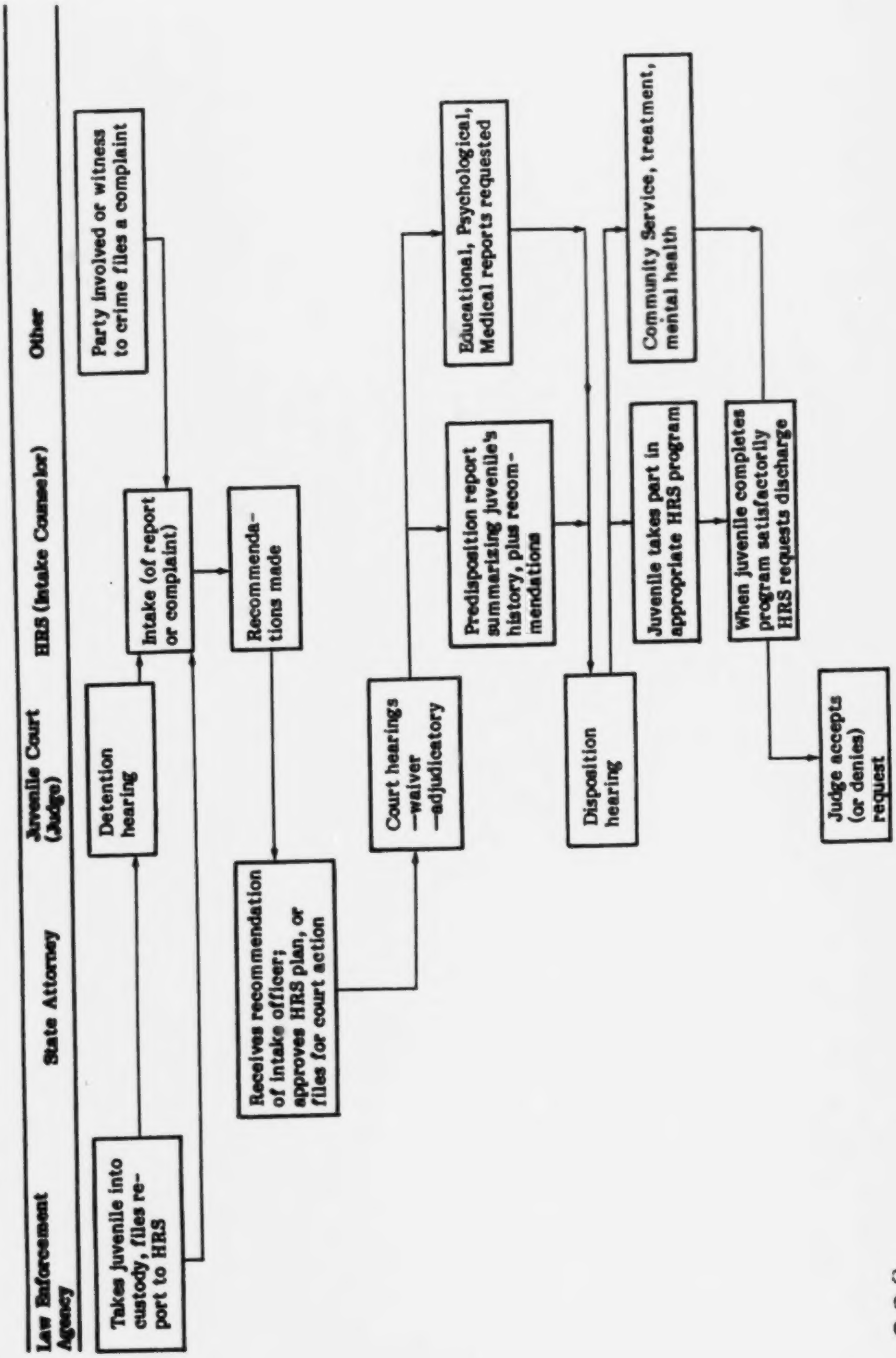
The following chart, Figure D-2-2, illustrates again how the different agencies interact when decisions are made in the juvenile justice system.

Figure D-2-2


Law Enforcement Agency
State Attorney
Juvenile Court (Judge)
HRS (Intake Counselor)
Other
Takes juvenile into custody, files report to HRS
Detention hearing
Party involved or witness to crime files a complaint
Intake (of report or complaint)
Recommendations made
Receives recommendation of intake officer; approves HRS plan, or files for court action
Court hearings —waiver —adjudicatory
Predisposition report summarizing juvenile's history, plus recommendations
Educational, Psychological, Medical reports requested
Disposition hearing
Juvenile takes part in appropriate HRS program
Community Service, treatment, mental health
When juvenile completes program satisfactorily HRS requests discharge
Judge accepts (or denies) request

Now complete the review questions beginning on the next page.

Review Questions (II: D-2)

Write your answers on a separate sheet of paper.

1. Which court has jurisdiction over all matters concerning custody and welfare of children in Florida?
2. What is Chapter 39 of the Florida Statutes called?
3. List and briefly explain the **five** purposes of Chapter 39.

Match the duty or role described on the left with the person who is responsible for it on the right (a–e may be used more than once). Write the letter of your answer choice by the number on your paper.

Duty or Role

4. files a petition for delinquency
5. determines whether the child has committed a delinquent act
6. writes the predisposition report
7. has final say in the child's penalty
8. recommends that a child's case go to court
9. files the motion for a waiver hearing
10. files a complaint with the HRS

Who Does It

a. intake counselor
b. arresting officer
c. state attorney
d. involved citizen
e. judge

Match the terminology of juvenile justice on the right (a-h) with the explanations on the left (11-15). Write the letter of the terminology by the number on your page.

Explanations

11. when it is determined whether or not the accused juvenile committed a delinquent act
12. when jurisdiction of a case may be changed
13. summary of a child's background, environment, history, and so on
14. when a juvenile finds out his/her penalty for committing a delinquent act
15. a program somewhat similar to probation

Terminology

a. adjudicatory hearing
b. detention hearing
c. petition for delinquency
d. predisposition report
e. waiver hearing
f. complaint
g. community control
h. disposition hearing

16. List and briefly summarize the **seven** decision points in the juvenile justice process.

17. Give at least **three** criteria considered in the decision of whether or not to move the child's case to the adult criminal court system.

18. Write a brief definition for each of the following:

    a. restitution
    b. discretion
    c. to divert
    d. sanction

Check your answers with the correct ones provided in the answer key.

Student Guide Block III

CORRECTIONS

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Block III: Corrections
Unit A: History of Corrections

Ask your instructor for the pretest for this unit (III: A). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

Throughout the history of corrections, conflicting attitudes toward the criminal have been brought out by the question, "Are criminals to be harshly punished for their crimes, or are they to be reformed and returned to society?"

Almost all societies have had individual members who, for a variety of reasons, did not abide by the customs, standards, rules, or laws of that society. In this section, we will briefly consider how societies have responded to the harmful behavior of an individual, tracing the path from personal revenge to the present-day use of impartial, fair judgment in a court setting, which leads to the opportunity for the correction of offenders.

Objectives

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Identify the main characteristics of the blood feud tradition of justice.

2. Identify the two main historical traditions in correctional philosophy, and identify which is most common in today's correctional system.

3. Identify the basic concepts of the common law tradition and the civil law tradition and describe how they differ.

4. Identify the characteristics of the Pennsylvania system, the Auburn system, and the Elmira system.

5. Identify the differences between the beliefs of the Classical and Positivist schools of criminology.

7. Define the following terms:

   - indeterminate sentence
   - to deter/deterrence
   - penitence
   - solitary confinement
   - corporal punishment
   - capital punishment

Legal Traditions

Blood Feud Tradition

In primitive times, when someone had been wronged the victim's family would often seek immediate revenge. The family of the original offender would usually react with more violence until whole towns could become involved in blood feuds, some of which might last for generations. There was no attempt to prove guilt nor was there any attempt to judge impartially and fairly. A person's crime might be just being a member of the wrong family. Innocent people were often harmed. This attitude has not completely disappeared even today although there are laws which prohibit it. People who take the law into their own hands and carry out personal vengeance through lynchings, underworld murders, and so on, contradict the modern attitude of justice and fairness.

Civil Law and the Roman Influence

As societies became more organized, and governments became centralized in the hands of emperors or kings, personal revenge was discouraged. Any wrongdoing which could harm society was called a crime, and the ruler took responsibility for punishing the offender. The accused was tried in a neutral location, and punishment of the guilty party was decided by the ruler or his representative.

One of the most influential groups of people in the development of law in Western civilization were the Romans. The Roman republic and empire spanned almost 1,000 years, from 500 B.C. to A.D. 476. The Romans had great respect for the law, and as their empire spread, so did Roman law. During this time, the relationships of man-to-man, the accused to his judge, and the citizen to the state, were formally guided by written laws. The Roman concept that law should be supreme over man, and that man is a servant of the law, influenced the development of Western civilization.

Between A.D. 529 and 539, Justinian, the emperor of the Eastern Roman Empire, also known as the Byzantine Empire, ordered a commission of jurists to simplify, reduce, and codify the large and diverse body of Roman law. The result is a work called the Corpus Juris Civilis (body of civil law), one of the most important milestones in legal history. The Justinian Code, a part of this work, was the model and inspiration for the legal systems which later developed in virtually every continental European nation. (See Figure A—1.)

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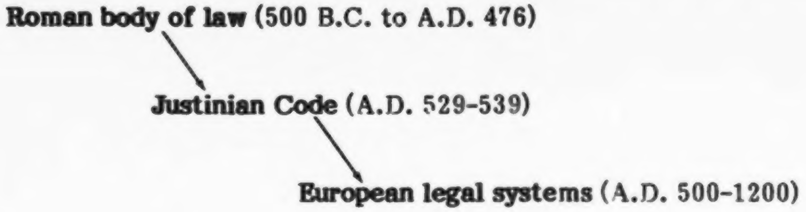
Roman body of law (500 B.C. to A.D. 476)
Justinian Code (A.D. 529-539)
European legal systems (A.D. 500-1200)

Figure A-1
Development of European Law

According to the civil law tradition, the ruler's authority was part of the natural order of things, and the ruler was responsible for maintaining order and harmony in society. S(he), or his/her representative, was to make judgments based on law when one citizen complained of harm inflicted by another. Judgment and punishment were thus bound by law.

Common Law System in England

In the twelfth century in England, another legal system developed which was called **common law.** Although this body of law also had roots in Roman law, it was unique to England, and has influenced all those countries which were once English colonies. The term "common law" came from the fact that the king's courts represented the common customs of the land; the judges of these courts sought to unify the legal traditions of the land under the king's authority. The king appointed these judges, who were often ordinary citizens, rather than nobles. However, the judges were very loyal to the king since they owed their position to him. They traveled from place to place to hold court, and had jurisdiction over cases involving major crimes such as murder, robbery, forgery, and arson.

In the common law courts, decisions were made by considering past decisions which had been made by the judges of the royal court. The body of law that developed was thus based on this collection of **judicial decisions** rather than on **statutes** (laws written by a legislative body), which had formed the foundation of the civil law tradition. Another important characteristic of common law was the use of jury trials.

Workhouses in England

Although the idea of impartial, fair judgment in court was growing, punishment of the offender was harsh; whipping, branding, mutilation, indentureship, and hanging were common. It was believed that extreme punishments would discourage others from committing crimes.

An alternative to these punishments was to confine the criminal. In the sixteenth century, the first correctional **workhouses** were established in England and Europe, and were designed to force the transient members of society (such as beggars, debtors, and rogues) to work. These early workhouses did not have separate facilities for men, women, or children. Drinking, gambling, and vice were prevalent, and basic necessities were minimally provided for. Physical abuse and work were often imposed on the prisoners regardless of their sex, age, or condition. The jailors were often cruel and corrupt as well as poorly supervised.*

The demand for more workhouses grew. More reasons were found for imprisoning people. Many believed imprisonment was a much better solution than **corporal** (physical) punishment or **capital** punishment (putting one to death). In the seventeenth and eighteenth centuries, prison reforms became even more necessary. Reforms provided for the separation of prisoners by sex, age, or offense; better living conditions; and better treatment.

England also used exile to punish criminals and often sent felons to its **penal colonies**, both in America and in Australia. The American Revolution ended the shipment of criminals to America, although they were still sent to Australia until the 1860s.

Prisons in America

In early America, the houses of correction were similar to those found in England. The first state prison was established in Connecticut in 1773, and was constructed over an old mine. Offenders were simply dropped down the single vertical shaft and lived in the tunnels radiating out from it.

1. **Walnut Street Jail**
   The beginning of the modern jail in America was the Walnut Street jail, built in Philadelphia in 1790. Here, prisoners were separated by sex, age, and the seriousness of the crime. They were required to work so that the cost of their imprisonment would be covered. There was also a system of self-government among the prisoners. The overall policy toward the prisoner was to use firmness and fairness rather than punishment.

2. **Pennsylvania System**
   Another system which developed in early America was the Pennsylvania system, strongly influenced by the groups promoting prison reform. One religious group, the Quakers, believed imprisonment should not be for the purpose of punishing the offender, but for the purpose of bringing the prisoner to a state of **penitence**. This term is the source of the word **penitentiary**, originally conceived as a place where a person strives for penitence. In addition, placing prisoners in **solitary confinement** would allow them more time

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* For an idea of what such places were like, read the novel by Charles Dickens called Oliver Twist, about a boy who was born in a workhouse and later lived among London's thieves.

penal colony: used as a place of confinement and punishment.

penitence: feeling sorry for one's crime.

solitary confinement: shutting a prisoner up where there is no contact with others.

to reflect on their crimes; they would then feel repentance and would turn from crime and be reformed. The Pennsylvania prison used solitary confinement but also balanced these periods of solitude with visits to prisoners by prominent citizens, including the governor, legislators, mayors, and judges. The Pennsylvania system was one of the first to use imprisonment as **treatment** rather than as **punishment**. It had a wide influence on corrective systems in Europe as well as in America.

3. **The Auburn System**
   In the early 1800s, Auburn, New York, tried to use the Pennsylvania system but encountered certain problems. It was found that the long periods of solitary confinement actually led to high death and insanity rates among the inmates. So, instead of solitary confinement, the Auburn system had prisoners doing productive jobs during the day. The prisoners worked together in silence. At night, the prisoners were confined separately. This system was more economical, and the collective managing of inmates was more efficient. However, discipline was harsh and whipping was a common form of punishment. The Auburn system influenced most of the other prison systems which were built and developed in the United States until the 1870s.

4. **The Elmira System**
   In 1875, the Elmira reformatory was opened in Elmira, New York. Reform was its basic goal. It was the first prison to use indeterminate (indefinite) prison sentences in America. **Indeterminate sentences** have a range of time (minimum and maximum), rather than a rigid term. A prisoner could earn early release through marks for productive, good behavior. Emphasis in the reformatory was on productive labor, education, parole, and reform, but discipline was severe for misbehavior. Since 1876, almost all reformatories built in the United States have been based on the Elmira system.

In today's prisons, the horrors of prison life have been reduced. Although conditions are certainly unpleasant and sometimes dangerous, many improvements have been made, including the safeguarding of inmates' civil rights, eliminating long-term solitary confinement, encouraging a nutritional diet and cleanliness, and allowing access to prison libraries. Humiliating punishments such as shaving the head, using striped clothing, and corporal punishment are no longer allowed. Most difficulties today are caused by overcrowding.

Schools of Criminology

Since the eighteenth century there have been two schools (belief systems) of criminology, the **Classical** and the **Positivist**, which have influenced the historical prison systems as well as modern correctional institutions.

Those of the **Classical** school believed that human behavior is motivated by determining the difference between the **pleasure** the criminal gets from doing something wrong, and the **pain** which the wrongdoer would suffer once caught. Therefore, they believed that each criminal act should have a fixed amount of expected pain associated with it. At first, all criminals were administered the same punishment for a particular crime. In other words, it was believed that **the punishment should fit the crime.** As the years passed, a few special factors were taken into account such as age, mental condition, and the necessity for **self-protection**, which could lessen the punishment. This school of thought emphasized deterrence rather than revenge as the reason for punishment. **Deterrence** keeps people from doing something, much as a threat might. Punishment, or fear of certain punishment, was thus considered a deterrent to crime. It was believed that potential offenders would consider the pain associated with the crimes they were about to commit and would decide against the action. The individuals took responsibility for their own behavior.

In contrast to the classical school, the **Positivist school** was based on the belief that criminal behavior just came upon an individual, like an illness, and that (s)he was not responsible for this behavior. Treatment and reform were preferred to punishment; although, if the criminal could **not** be reformed, (s)he was imprisoned or put to death to protect society. The belief that **the punishment should fit the criminal** was central to positivist philosophy.

Today, one sees evidence of the influences of both schools on modern corrections. Mandatory sentencing for armed robbery reflects the classical school belief that the punishment should fit the crime. On the other hand, the emphasis on treatment and reform for the individual offender reflects the positivist school.

Summary

Although the historical aspects of corrections have been outlined only briefly, it should be clear that today we intend to leave brutality and harsh punishment behind and prefer to attempt to correct or rehabilitate the criminal for a safe return to society. The main challenge for corrections in this decade will be the overload on the system brought about by an increased number of offenders to correct but with little increase in resources to accomplish this.

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deterrence: the act or process of deterring. From **to deter:** to discourage or prevent from acting.

The historical development of corrections is summarized graphically on the chart which follows.

The Historical Development of Corrections

Time	Event	Explanation
Earliest Times	Blood Feud Tradition	Revenge as a response to crime.
6th Century A.D. (529-539 A.D.)	Civil Law/Justinian Code	Based on the body of Roman Law. Emperor's authority gives responsibility to punish criminals and maintain social order.
12th-16th Centuries	Development of Common Law (England)	Ordinary citizens served as judges but appointed by monarch or monarch's officers. Judgments based on a collection of judicial decisions.
15th & 16th Centuries	Workhouses (England and Europe)	Confinement with harsh treatment.
16th-19th Centuries	Penal Colonies (America and Australia)	Exile as punishment.
18th Century (1773)	First State Prison (Connecticut)	Prisoners lived in tunnel of old mine.
17th & 18th Centuries	(England and America)	Pressure for prison reform.
Late 18th Century (1790)	Walnut Street Jail (Philadelphia)	Separation by sex, age, and seriousness of crime. Work required. Self-government among prisoners. Firmness and fairness rather than punishment.
Early 1800s to 1870	Pennsylvania System	Solitary confinement allowed time for repentance. Imprisonment used as treatment rather than punishment.
Early 1800s	Auburn System	Productive jobs during the day, solitary confinement at night. Harsh discipline and whipping.
Late 19th Century (1875)	Elmira System	Emphasis on productive labor, education, parole, and reform. Severe discipline for misbehavior.

Now complete the review questions beginning on the next page.

Review Questions (III: A)

Write your answers on a separate sheet of paper.

Some jails, prisons, and reformatories were based on the idea that the prisoner should be treated or reformed; others were based on the belief that the prisoner should be punished. Schools of thought, institutions, and systems are listed (1-7) below. Put a T on your paper for the term where treatment was the main goal; put a P on your paper for the term where punishment was the goal.

1. Auburn system
2. Pennsylvania system
3. Elmira reformatory
4. modern penitentiaries
5. English penal colonies
6. Classical school of criminology
7. Positivist school of criminology
8. The first **modern** jail in the American colonies was the:
   a. Connecticut mine jail.
   b. Pennsylvania jail.
   c. Walnut Street jail.
   d. Elmira reformatory.
9. Which American jail was based on ideas presented by prison reform groups and the Quaker religious group?
   a. Connecticut mine jail
   b. Pennsylvania jail
   c. Walnut Street jail
   d. Auburn system

For statements 10-15, choose either the civil law tradition or the common law tradition for the following sentences. Write the correct term for each statement by the number on your paper.

10. The ____________ law tradition was an important influence on the legal systems of the developing European nations.
11. In the ____________ law tradition, ordinary citizens served as judges; their decisions were collected into a growing body of law.
12. The ____________ law tradition which developed in England has influenced the English-speaking countries' legal systems.

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13. The ____________ law tradition was based upon the Justinian Code, a reduction of the body of Roman law.

14. The legal tradition in the United States has been influenced most by the ____________ law tradition.

15. In the ____________ law tradition, complaints were primarily brought to court by nobles.

For 16-21, identify (using the first letter only) whether the statement describes the Classical (C) or the Positivist (P) school of criminology.

16. Specific punishment is attached to specific crimes.

17. Actions of a criminal could be excused because one was not responsible for one's criminal behavior—it just happened, like an illness.

18. The reason for punishment is to deter crime.

19. The individual is responsible for his/her behavior.

20. Individuals can be reformed.

21. The punishment should suit the criminal.

As a short history review, put the following in chronological order. On your paper, write a 1 by the earliest, 2 by the next, and so on.

22. Walnut Street jail

23. English penal colonies

24. blood feuds

25. Elmira reformatory

26. Auburn reformatory

27. civil law tradition

28. Pennsylvania system

Define the following terms in your own words.

29. indeterminate sentence

30. deterrence

31. solitary confinement

32. penitence

33. capital punishment

Check your answers with the correct ones provided in the answer key.

Block III: Corrections
Unit B: Government Corrections Systems

Ask your instructor for the pretest for this unit (III: B). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

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Introduction

In this unit, we will look at the civilian correctional system and the division of that system by jurisdiction; that is, according to which government institution has responsibility for which prisoners.

As in the other criminal justice branches, corrections has three main levels which are under the local, state, and national government jurisdictions. In this section, you will learn the differences and similarities of the functions, philosophies, and organizations of these three levels.

We will focus on Florida's corrections system, including a discussion of the philosophy behind the Florida correctional system, its major problems, and some possible solutions. The Florida state legislature and its influence on the correctional system will also be discussed.

Objectives

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Identify three kinds of local confinement facilities and their functions.
2. Identify the responsibilities that state correctional facilites have to society.
3. Summarize the two main conclusions reached by the Florida State Legislature when it examined the Florida correctional system.
4. Define the correctional improvement plan.
5. List at least four duties of the state Department of Corrections.
6. List at least three kinds of federal correctional facilities.
7. Compare the three levels of correctional systems, considering governing agencies, the types of inmates and their level of criminal involvement, and the length of inmates' sentences.
8. Define the following terms used in the field of corrections:
    - misdemeanor
    - jurisdiction
    - innovation
    - reintegration
    - recidivism
    - incorrigible
    - to habilitate/habilitation
    - to rehabilitate/rehabilitation

Local Corrections

When a local enforcement officer brings an arrested person to the jail and makes formal and legal charges against that person, the jail personnel are then responsible for the prisoner. City and county governments are in charge of local correctional facilities, including:

- **Lock-ups**, usually located at the police station, are used to hold suspects for up to 72 hours during investigation, or until the preliminary hearing.

- **Jails** house suspects who are awaiting trial or serving a short sentence. Jails were originally established solely to hold persons awaiting trial; however, over time they have been used to confine persons serving short sentences of a year or less. Usually separate facilities are provided for juveniles and adults. Many modern jails also have facilities reserved at the local hospital for sick, intoxicated, and injured prisoners.

- **Workhouses, jail farms, or camps** are low security locations for holding minimum-custody offenders. Agricultural programs, vocational educational programs, and alcohol and drug treatment programs may be available at such locations.

Local correctional institutions hold prisoners who are:

- awaiting trial, or awaiting the posting of bail
- serving short sentences, of usually a year or less, involving misdemeanor crimes and violations of county or city ordinances such as carrying a concealed weapon, burglary, gambling, receiving stolen property, etc.

Local institutions may have problems because of the limited amount of money available to them, which must come from county and municipal budgets. Because of the lack of funding, the local correctional programs may offer no more than security with few opportunities for rehabilitation.

State Corrections

State governments are in charge of the state correctional facilities including correctional institutions, correctional centers, road prisons, or the state prison. There are separate institutions for adult females, adult males, youthful males, and maximum security prisoners.

Individuals are admitted to state correctional facilities once they have been convicted by the state court system of violating state statutes and committing major crimes such as murder, rape, assault, and robbery. **The state system's basic responsibility to society is to confine sentenced prisoners until they are ready to return to society or until they have served the time required by law.** The correctional system is expected to accomplish more than simply holding the prisoners. It is also expected that the system will **habilitate** or **rehabilitate** prisoners.

Habilitation and rehabilitation are terms used in corrections which refer to the adjustment of the individual to society. To **habilitate** someone, as the term is used in corrections, means to develop a condition of good mental and physical health, so that a person is helpful to society. It is similar in meaning to the term "socialization," which is the process of teaching a young person to adjust and function in society and to live according to its rules. The person learns to accept responsibility for his/her conduct and to avoid destructive behavior. Ideally, the home, the school, and religious institutions should share in the task of socialization.

Rehabilitation is the act of restoring or returning the individual to a condition of mental and physical health after a period of undesirable or criminal behavior. There are many kinds of programs in which an offender may be required to participate, which assist in the rehabilitation process. Many programs are located within the correctional facilities (these are called prison-based corrections or prison rehabilitation programs) and other community-based corrections are available to the offender who is on parole or probation. Rehabilitation programs include vocational training, drug and alcohol treatment, basic education, counseling, and other programs.

For several years, federal funding was made available for state correctional institutions through the Omnibus Crime Control and Safe Streets Act. The guidelines, goals, and objectives of this act required that the states focus more on rehabilitation, education, and vocational training than they had in the past.

Florida Focus

In Florida in the early 1970s, the state correctional system was evaluated by the state legislative branch. Two important problems were singled out by this evaluation:

- Offenders were not being rehabilitated successfully. It was difficult for them to find employment and to be reintegrated into society once they were released. Former prisoners were likely to commit crimes and be imprisoned again. In other words, **recidivism**, or the rate of return to prison, was high.
- Prisons, especially the large ones, had become schools for crime in which dangerous and hardened offenders were housed alongside those who might have the potential for rehabilitation. Many lesser offenders learned more from the career criminals than the rehabilitation programs.

In response to these problems, the Florida state legislature passed the Correctional Improvement Plan in 1975. Under this plan, the division in charge of corrections was reorganized, becoming the Department of Corrections, to be headed by the secretary of the department. The main goal of the new department was to solve some of the problems identified in the review. The Correctional Improvement Plan was to be a guide for the new department and included several proposed programs, which are described in the following outline:

Correctional Improvement Plan

(1) In order to rehabilitate and prepare prisoners for release, provide:

- vocational training, including suitable work experience
- educational opportunities
- treatment and diversion programs
- job placement help for released inmates
- intensive supervision of prisoners on probation

(2) In order to end the role of prisons as schools for crime, provide for:

- a process to classify prisoners which is based on psychological and medical examinations for those who need treatment
- the use of local jails for short-term confinement
- the development of treatment programs in community facilities as alternatives to confinement
- the reduction in size of prison facilities
- the separation of prisoners:
  - by sex
  - by age
  - by the potential for rehabilitation
    - ** Class I: maximum security prisoners; incorrigibles who cannot be reformed or corrected
    - ** Class II: possibly can be rehabilitated
    - ** Class III: probably can be rehabilitated

(3) Duties of the Department of Corrections include the following:

- implementation of the Correctional Improvement Plan
- commitment of prisoners
- supervision and care of inmates
- treatment and rehabilitation of prisoners
- responsibility for prison facilities
- training of department workers
- probation and parole services

Federal Corrections

The Department of Justice, which is headed by the Attorney General, is responsible for all aspects of criminal justice on a federal level, including law enforcement, the Federal Bureau of Investigation (FBI), and pardon and parole. The Bureau of Prisons is the agency under the Department of Justice which is responsible for corrections. Its primary mission is to protect society.

The Bureau of Prisons is responsible for the care and custody of those persons convicted of federal crimes who have been sentenced by the courts to serve a period of at least one year. Such crimes include kidnapping, treason, income tax evasion, postal violations, bank robbery, and any crime involving the crossing of state lines.

Both federal and state corrections have the same basic responsiblity to society: to confine sentenced prisoners until they are ready to return to society or until they have served the time required of them. This is the concept upon which prisons were founded. Modern society, though, demands the rehabilitation of inmates as well. Counseling services, vocational training, treatment, education, and recreation are all provided to aid rehabilitation. Correctional officers must be well prepared to fulfill the responsibility of rehabilitating inmates.

The federal corrections system has been very innovative, a leader in new approaches to rehabilitation. Included within its nationwide correctional system, the bureau operates federal correctional institutions; maximum, medium, and minimum security prisons; halfway houses (community treatment centers); and community program offices. The federal system was the first to use halfway houses and community program offices to help prisoners adjust to freedom following their release.

Summary

As in the other branches of criminal justice, there are three levels of corrections systems: the local, the state, and the federal.

The three levels are divided by jurisdiction, the type of crime for which persons are sentenced, and the length of sentences served. The following chart is a summary of how these levels differ.

Comparison of the Three Systems of Corrections

Facility	Local Institution	State Institution	Federal Institution
Level of Government Responsible	City and county governments	State government	Federal government
Agency within Government (and Head)	Police and sheriff's departments (chief of police or sheriff)	Department of Corrections (secretary)	Bureau of Prisons (director)
Type of Institution	Jail, lock-up, work farm	State Correctional institutions, road prisons, state prisons	Maximum, medium, minimum security prisons; community treatment centers; federal correctional institutions
Type of Crime Inmates Have Committed	Breaking city/county ordinances (misdemeanor)	Breaking state statutes (felony)	Breaking federal law
Length of Sentence	Less than one year	At least one year	At least one year

Here are some terms which you have read in this section. You may want to review them before you progress further.

- **misdemeanor:** less serious class of crime than a felony, usually punishable by a fine or imprisonment of less than one year
- **jurisdiction:** the range or extent of authority, or the territory over which this authority is exercised
- **innovative,** as in an innovative program: a program which introduces something new
- to **reintegrate:** to work back into, or to become a part of
- **recidivism:** relapse into criminal behavior, as when former prisoners commit crimes and are returned to prison
- **incorrigible:** incapable of being corrected or rehabilitated
- to **habilitate:** to develop a condition of good mental, emotional, and physical health in an individual so that s(he) may contribute to society
- to **rehabilitate:** to restore or return a person to a condition of good mental, emotional, and physical health

Along with the change in emphasis from punishment to treatment of prisoners at all three levels of correction, it has become more necessary for those employed in the confinement facilities to be well prepared, trained, and educated. Since these employees should be role models for prisoners, they must always act with proper authority and dignified restraint.

Now complete the review questions beginning on the next page.

Review Questions (III: B)

Write your answers on a separate sheet of paper.

1. List **two** basic problems of the Florida state correctional system when the Legislature evaluated it in the early 1970s.

2. Which of the following did the Florida legislature propose as remedies for the problems in the state correctional system? (Choose **all** correct answers.)

   a. Provide more time for recreation.
   b. Provide vocational training and treatment of prisoner problems.
   c. Provide early diagnosis and treatment of prisoner problems.
   d. Provide separate facilities for different kinds of prisoners.

3. List and explain the three classes of rehabilitation for prisoners in Florida.

4. Define the following words:

   recidivism
   incorrigible
   misdemeanor
   jurisdiction
   reintegrate
   innovative
   to habilitate
   to rehabilitate

In 5–8, match the institutions listed below with the agencies which govern them. Write the letter for the agency by the number on your paper.

Institution

5. federal correctional institutions

6. lock-up facilities

7. road prisons

8. state correctional institutions

Agency

a. city or county government
b. Department of Corrections
c. Division of Rehabilitative Services
d. Bureau of Prisons
e. legislature

9. What is the Correctional Improvement Plan?

   a. a Florida document recommending plans for improving the state correctional system
   b. a list of treatment programs appropriate for particular prisoners
   c. a local plan used as a model by many cities for jail improvements
   d. a federal document encouraging improvement in state correctional systems

10. List **four** programs suggested in the Correctional Improvement Plan which would help prisoners adjust to society once they are released.

11. Jails are usually responsible for:

    a. the arrest and confinement of prisoners.
    b. detaining persons awaiting trial and short-sentence confinements.
    c. confinement and recreation.
    d. vocational education and parole.

12. In Florida, the agency responsible for the state network of correctional institutions is:

    a. the state Department of Corrections.
    b. the state legislature.
    c. the bureau of prisons.
    d. the state Admission and Release Authority.

13. Which of the following correctional systems has traditionally been the most experimental?

    a. local
    b. state
    c. federal
    d. military

14. If two criminals are convicted of kidnapping someone in Illinois, and are arrested in California, in what kind of institution are they likely to serve their sentences?

    a. state prison
    b. workhouse
    c. jail
    d. federal correctional institution

15. If a local gambling ring is broken, and those involved are convicted and sentenced to 180 days confinement, where are these persons most likely to serve their sentences?

    a. jail
    b. state institution
    c. federal correctional institution
    d. military institution

Check your answers with the correct ones provided in the answer key.

Unit C: Prison Society

Ask your instructor for the pretest for this unit (III: C). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

Introduction

In this unit you will learn some of the actions a jail officer can take to aid the prisoner during certain crisis periods. The atmosphere of the jail can be improved by the jail officer's behavior and attitudes. A satisfactory adjustment and rehabilitation of the prisoner are more likely when there is less tension in the environment.

Materials and Directions

The arrangement of this unit differs from most of the other units, but hopefully, it will be easy to follow. Refer to the **Chart of Objectives and Required Reading** which follows and note that the objectives for the unit are listed on the left, and the pages to read for each are listed on the right. Most of the reading will be in Book 3: Jail Climate, from the series of books called Jail Operations. The instructor should make all of these materials available to you. Read the assigned pages carefully since the test is based on the information found on these pages. Of course, you may read other pages as well if you find them interesting.

After finishing the required reading, try the review questions. If you miss any questions, you should refer back to the appropriate pages indicated in the chart and study them again.

When you feel that you have studied and reviewed the materials adequately, ask your instructor to give you the posttest.

Chart of Objectives and Required Reading

Knowledge Objectives

After completing the required reading listed in the right-hand column, you should be able to do the objectives given on the left-hand side of the chart.

Objectives of the Unit	Required Reading*
1. Define the term "jail climate" and the elements which help to create it.	Book 3: Jail Climate, pp. 1, 5-6
2. List possible similarities between one's first day in jail and the first day as a hospital patient.	pp. 2-4
3. Identify the critical times during confinement when a prisoner may be under a lot of emotional strain.	pp. 7, 12-13, 23-25
4. Identify two actions the jail officer can take to help a prisoner during the critical times.	pp. 25-32
5. Describe the behavior and procedure an officer should observe when searching prisoners.	pp. 14-22
6. List and briefly explain three causes of frustration which might be felt by a prisoner.	Student Guide, this unit

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*Unless otherwise noted, all sources are from a series of six books called Jail Operations by Alice Howard Blumer (Washington, D.C.: U.S. Government Printing Office, n.d.)

Prisoner Frustration

Everyone experiences feelings of frustration in his/her life, some more than others. Think of your own experiences and what may cause frustration for you. It may be the fact that you can't do something you really want to do, or it may be because you feel that the people around you don't understand or that communication is poor. It may be because you want something to happen quickly, but everything moves too slowly for you. In other words, there are things that you want to do or to have but other things become obstacles which keep you from reaching your goals. Learning to handle frustration is accomplished by figuring out how to overcome the obstacles, by learning to wait patiently until situations change, or even by changing goals.

In a prison setting, the prisoner faces continual frustration. You can imagine how difficult it would be if you had little to say about running your own life, choosing your goals, and making decisions to reach those goals. Often prisoners give up trying to reach their goals because of the obstacles they face, and subsequently they feel frustrated. What are the primary causes of frustration in a prison setting? They may be placed in three main categories:

1. **Environment.** Remember that the prisoner has been placed in unfamiliar surroundings and has no freedom of movement. Rules and regulations are strict and fellow prisoners may be unpleasant and negative. If the prisoner wants to improve himself/herself by changing negative habits or learning new skills, prison society may place obstacles in the way. Other prisoners may not support the efforts of a prisoner to change and become rehabilitated. Few people will encourage the prisoner in his/her efforts. The prison environment can be very frustrating for these reasons.

2. **Personal characteristics.** The prisoner's previous efforts in education, training, or learning social skills probably have not been successful. S(he) may have problems in communicating with others, in paying attention while trying to learn, or even in being motivated to change. The prisoner may be frustrated by his/her own personality.

3. **Conflicts.** In prison, as in society as a whole, there are always choices to be made. Choosing between behavior that is right or wrong, constructive or destructive, cooperative or uncooperative, lawful or unlawful creates conflict in a person. These conflicts are frustrating because of the gap between what one **wants** to do and what one **should** do. For most prisoners, it has often been easier to follow a negative path rather than a positive one. However, in the prison setting, people who act negatively are disciplined or punished. Learning to act positively, to change negative habits to positive ones, may be difficult and frustrating. The goals which the prison personnel have for each prisoner, including rehabilitation, may not match the prisoner's goals, perhaps because they seem too difficult to the prisoner, leading to further frustration.

Summary

The more those in authority can understand the frustrations of prison, the better they can aid the prisoner. Surely the jail or prison situation is difficult, but eliminating some obstacles and certain unnecessary frustrations may help the prisoner to eventually become rehabilitated. Trying to look at things from the prisoner's point of view may be the best way to understand and help him/her.

Now complete the review questions beginning on the next page.

Review Questions (III: C)

Write your answers on a separate sheet of paper.

1. Briefly explain what is meant by a jail climate, and the **three** ways in which the jail officer helps to create this climate.
2. In **two** or **three** sentences, explain how a new hospital patient and a new prisoner may experience similar feelings.
3. Define the term "critical time," as used in the book, and summarize what the jail officer can do to aid the prisoner during such times.
4. Explain how a family visit may be a critical time for a prisoner.
5. Describe the appropriate behavior of the jail officer when conducting a body search. List what **should** and **should not** be done.
6. Explain what is meant by environment as a source of prisoner frustration.
7. Explain how a prisoner can be frustrated by conflicts derived from the prison experience.

Check your answers with the correct ones provided in the answer key.

Block III: Corrections

Unit D: Probation and Parole

Ask your instructor for the pretest for this unit (III: D). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

Introduction

Probation and parole, two alternatives to imprisonment, are more necessary today than ever before as prison system populations have increased and prisons have become more and more overcrowded.

Release programs are a necessary release valve to prevent crowded prison conditions. In some cases, judges have even ruled that crowded conditions are "cruel and unusual punishment," and have ordered the immediate release of prisoners on that ground.

In this section, we will look at the origins of probation and parole, the early practice of paroling prisoners in Florida, and the development of the contemporary probation and parole programs in Florida.

One alternative to imprisonment which can be granted by the court is probation, in which an offender is released under certain conditions and restrictions and must be placed under the supervision of a probation and parole officer.

An early release program, parole, is similar to probation, but is granted by a citizens' advisory committee, under the authority of the Florida Parole and Probation Commission, after the prisoner has served a portion of his/her sentence. The parolee also must be placed under the supervision of a probation and parole officer.

Supervision is important in both probation and parole. A probation and parole officer must balance the responsibility to society with his/her responsibility to the individual and his/her eventual rehabilitation.

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. List the main differences and similarities between probation and parole.
2. Identify historical facts about probation and parole.
3. List at least three advantages of parole over completing sentences in prison.
4. Identify the Florida Pardon Board and its characteristics.
5. State a disadvantage of probation which the judge must consider.
6. Identify when inmates become eligible for parole in Florida.
7. Identify the main duties of the Parole and Probation Commission.
8. List the main duties of the probation and parole officer.
9. Define the term, "linker."
10. List community resources which a parolee or probationer may be required to use.
11. Define the following terms:
    - post bail
    - to lease
    - to incarcerate
    - composite
    - affidavit
    - pardon

Historical Overview of Release Procedures

Probation

Probation was first used in the United States in Boston, Massachusetts, in 1841. A shoemaker, John Augustus, attended a police court session, and offered to **post bail** for a man charged with drunkenness so that the offender would not be jailed. In the three-week period before the scheduled court appearance, Augustus agreed to exercise some control and supervision over his charge. When he brought the offender back after three weeks, the man charged with drunkenness had been reformed. In fact, the court was so impressed with the change that the offender was only fined one cent rather than being jailed. Augustus continued this service for nearly 2,000 men, women, and children before he died in 1859.

The idea spread through the different Massachusetts court systems, from the local Boston municipal courts to the county courts, and finally, by 1898, to the state courts. By 1900, five more states had approved probation as an alternative to imprisonment.

The use of probation continued to expand throughout the country. The probation of juveniles was accepted rather quickly, so that all states had probation for juveniles by 1925. By 1956, adult probation services were in use in all states.

Whenever possible, probation is considered the preferable alternative to imprisonment for the offender who is not considered dangerous. By being supervised and counseled in his/her social environment, the offender may learn to cope more effectively with the problems which may have led to criminal acts. In addition, community programs, such as drug rehabilitation programs, are available to the offender to aid in his/her rehabilitation.

Parole

The origin of parole can be found in early nineteenth-century England and Ireland where prisoners could be awarded "tickets of leave," which were granted for good conduct after some portion of their sentences had already been served. These tickets allowed them an early release from prison. When they were first used, no one supervised the released offender and, in some cases, the safety of society was at risk. Supervision was seen as a necessary part of the ticket of leave idea. The use of supervision, first by police, and later by organized volunteers, was accepted by the Irish but was resisted by English offenders. In Ireland, supervised parole became the third and last step of a reform program designed to ease the prisoner back into society.

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post bail: security (usually money) given to guarantee a prisoner's appearance in court.

This Irish reform program had a direct effect on parole in the United States. The first superintendent of the Elmira Reformatory was impressed with the Irish ideas, and used them in the first reformatory which opened in Elmira, New York, in 1876. It was the first correctional institution in the United States to use indeterminate sentences combined with the idea of supervised early release as a reward for good behavior.

Although parole practices differ from state to state, it is now an accepted part of corrections at both state and federal levels.

History of Release Procedures in Florida

In Florida, the history of various types of prisoner release programs reveals that release was not always in the best interest of the prisoner. We will examine Florida history from the early leasing of prisoners to the present program of the probation and parole services offices.

During the early nineteenth century, state prisoners, commonly referred to as convicts, were actually **leased** to huge turpentine and land companies in Florida, where they were often treated as slave labor. Many instances of brutal and inhuman punishment by the whipping bosses of the turpentine, phosphate, and lumber camps are recorded. This cruel treatment of prisoners ended with the notorious Martin Taber case. Taber, a young prisoner convicted of stealing a ride on a freight train, was leased to a lumber company. He died as a result of the brutal treatment of the lumber company boss. The public was shocked and angered by this event and other cases of cruelty and demanded the discontinuation of the practice of leasing prisoners.

Because prisoners were no longer leased, the state prison at Raiford, Florida, became overcrowded. This overcrowding, in turn, led to the pardoning of some prisoners. A **pardon** is the unconditional release of a prisoner granted only by the governor and the cabinet following their review of new evidence or some change in the circumstances of the prisoner. (Presently, this board is called the Clemency Board.) The **Pardon Board** was created by the 1885 State Constitution and was made up of the governor and his cabinet. The Pardon Board often had to consider as many as 200 pardon applications in one day. Release procedures were often hurried since these officials were burdened by other duties and were able to devote only a small part of their time to this task. This situation often led to unfair release practices in which prisoners with connections, money, powerful friends, or other influence would be released while prisoners without influence would remain imprisoned. As a result, the interesting career of the pardon specialists developed. These men were hired to appear before the Parole Board and present emotional pleas which were based on real or imagined cases of family distress, hardship, illness, etc., in order to secure a prisoner's release.

These abuses and other weaknesses of the pardon system led to the formation of the **Florida Probation Association** in the mid-1930s. The

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leased: rented or hired by contract.

association was made up of men and women who wished to improve the penal system in Florida. Through the efforts of this association, an amendment to the state constitution was approved in 1940 which authorized the legislature to create the **Parole and Probation Commission.** The first commission, which had three members, was appointed in 1941. These appointments were made on the basis of high placement on a statewide merit examination (288 applicants took this examination) and also on the basis of the candidates' special knowledge and experience in the administration of criminal justice. This was the first time in the history of the United States that a parole commission was named largely on the consideration of a merit examination. The commission grew to contain five members and had responsibility not only for all parole decisions but also for the parole field staff which supervised released prisoners.

The Present Organization of the Florida Parole and Probation System

As you learned in a previous section, the state legislature passed bills in 1975 which reorganized the functions of the correction system in Florida. Some of the changes introduced by the Correctional Organizational Act involved the Parole and Probation Commission as well as the Department of Corrections. The commission was expanded to seven members and is presently responsible for all parole decisions in the state. Although **probation** is part of its title, the commission does **not** consider the probation of offenders. (That must be determined by the court.) Furthermore, the supervision and administration of both parole and probation is now the responsibility of the Department of Corrections.

Within the Department of Corrections, the office called Probation and Parole Services Program coordinates those services on a statewide basis. However, the administrative responsibilities for all facilities and probation and parole services are handled by the five **regional** (local) offices of the department. In the reorganization of 1975, the legislature intended that corrections should be managed **locally**, to take advantage of community resources. This organization provides more efficient supervision and management of parolees and probationers.

Probation and parole officers are responsible for the supervision of probationers and parolees who have been convicted of felony offenses. Their other duties, which will be described later, include presentence investigations and court appearances.

Current Release Procedures in Florida

As our population grows, our prison population also increases, especially in Florida which has one of the most rapid growth rates in the nation. Rather than imprison more and more people, the Florida corrections system has been expanding its community-based correctional programs, particularly for minor or first-time offenders. In addition, since most of those in prison eventually return to society, rehabilitation of the prisoner is necessary for the welfare of society. In the long run, it costs less to rehabilitate prisoners than to have them return to a life of crime once they are released.

Probation and parole are essential keys to rehabilitation, since release procedures give the offender an opportunity to learn how to function successfully in his/her community.

According to the state Department of Corrections, the objectives of the release programs of probation and parole are:

1. to provide guidelines and controls for the offender consistent with community safety
2. to provide the probationer or parolee opportunities for rehabilitation by coordinating community resources
3. to reduce the probability of a relapse into criminal behavior.

Probation: An Alternative to Imprisonment.
The following is the definition of probation, according to the state Department of Corrections:

"An alternative sentence by the court—instead of imprisonment—whereby select felony offenders are placed under community supervision of the Department of Corrections subject to the conditions and terms established by the court."

When an individual commits a felony offense and guilt is established, the judge must decide what is to be done with the offender. The decision is not a simple one. Naturally, the first concern of the judge is to uphold the law and protect society. Protection of society not only involves eliminating any possible threat posed by the offender, but also preventing the reappearance of the threat. To make this decision, the judge must consider the offender as well as the offense. What can be done to discourage or prevent the individual from committing future crimes? What can be done to help this person lead a productive and law-abiding life?

Basically, the courts have three choices for sentencing a felon: imprisonment, fine, and/or probation. **Imprisonment** is the most extreme of the three, and it is also the most expensive. Most judges try to consider ways to avoid using it without endangering society. Does the offender need to be isolated from society at such a high cost to the taxpayers? (In 1982-83, the approximate cost per prisoner per day was $21.00.) Is the offender always so much of a threat that s(he) cannot be accommodated within the community?

Requiring the payment of a **fine** is an appropriate tool of the court when it is determined that the offender will probably not commit future crimes but needs to be mildly punished for his/her offense.

Probation is the alternative chosen by the court for most offenders who can be returned to the community but who still require supervision. Probation serves two purposes. First, the community is protected if the supervision is effective. The probation officer monitors the offender's activities through contacts with employers, relatives, teachers, volunteers, and other persons who are in contact with the offender.

Second, probation serves as the primary tool for the rehabilitation of offenders. Most professionals working in criminal rehabilitation agree that it is extremely difficult to rehabilitate a person by placing that person in a separate society behind bars. Prison society is totally different from that of the local community. When placed in prison, an inmate learns how to function within that society, but not in a free one.

Prison, in fact, often makes rehabilitation much more difficult. By allowing the offender to stay in the community, s(he) can be assisted in establishing a law-abiding life within the community.

While on probation, the offender must respect certain conditions for the duration of the sentence. These conditions may **prohibit** certain actions and **require** others. For example, the offender may be **prohibited** from associating with certain people, possessing firearms, going certain places, or leaving town. The offender may be **required** to attend vocational school, search for employment, or complete a drug rehabilitation program. If such conditions are violated during the term of probation, the offender may have to appear in court again and could be imprisoned.

Parole: A Bridge to Freedom.
The following is the definition of parole according to the state Department of Corrections:

"The early release of the offender from prison by the Parole and Probation Commission to community supervision under the jurisdiction of the Department of Corrections. Conditions and term of supervision are established by the commission."

Parole is the supervised release of offenders from a correctional institution. The offender is returned to the community, looks for employment, and begins to live a somewhat normal life, with a few restrictions. Usually, parole is granted to felons (those who have committed serious crimes and have a sentence of at least a year).

In the course of a felon's trial and sentencing, the judge decided that imprisonment was necessary. Perhaps probation would have been inadequate for the offense, and the offender would have lacked respect for the correctional system. Yet while the prisoner is **incarcerated**, s(he) should have some hope of early release, and his/her willingness to reform should be encouraged and rewarded. Parole offers the possibility of a path back to free society, provided the prisoner genuinely shows a positive behavioral change.

In addition to rewarding prisoners for good conduct and relieving overcrowding in prisons, parole should serve to help the offender bridge the gap between life within prison walls and life outside. Parole is designed to return a person to a more normal community on the outside as quickly as the offender is able to function as a law-abiding member of society, and no longer poses a danger to the community.

The decision to parole an inmate is the responsibility of the Parole and Probation Commission, which was described earlier. The commission is presently a seven person panel, which is appointed by the governor and approved by the cabinet.

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incarcerated: imprisoned.

The parole decisions are based upon an objective analysis of each individual with careful consideration given to the risk that the prospective parolee may pose to the community if released before expiration of the prison term. These decisions are made with the realization that 98 percent of all inmates will eventually be returned to the community.

Should they be released before the end of their sentences in order to take advantage of a period of parole supervision? If rehabilitation efforts are successful, then long-term protection can be provided to society. On the other hand, if the wrong decision is made, there is the risk that the parolee may again commit a crime. If this happens, the entire philosophy of parole is questioned by both government officials and the general public. Unfortunately, considering the number of persons involved, mistakes are occasionally made. However, if prisoners are released only when their sentences terminate, the opportunity to aid and supervise the former inmate is lost. Since **no** provisions for supervision, job assistance, counseling, treatment, etc., is made in this situation, the former prisoners are on their own. Which way is most beneficial to society?

The Parole Process.

STEP 1: The parole process in Florida begins with the preparation of a complete **presentence investigation** of the offender's background and history done by the field staff (a parole and probation officer) before sentencing. This report provides the commission and prison officials with a **composite** of the offender's prior record, the circumstances of the present offense, an employment history, his/her reputation, social background, family history, medical and psychiatric evaluations, education, and so on. The commission uses this report to decide whether to grant parole, and if it is granted, under which restrictions and requirements.

STEP 2: **Parole eligibility interviews** are conducted regularly so that no one will be overlooked. Each inmate's case is studied and reviewed for possible parole release, and that information is updated on a regular basis. Interviews, which are conducted by a staff of commission parole examiners, begin within six months for inmates who have received a sentence of five years or less, and within one year for those who have received a sentence of five years or more. Thereafter, inmates are interviewed at least annually. Under Florida law, inmates are eligible for parole **the very day** that they begin their sentences unless otherwise exempted.

STEP 3: **The parole decision** is then made by the Parole and Probation Commission. The commission meets regularly to decide whether offenders throughout the state system should be paroled. The commission carefully analyzes the presentence investigative reports, the interview reports, and the recommendations of the parole and probation officers. To make its decision, the commission has adopted 14 criteria by which an inmate is considered for parole. These are:

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composite: something which has several parts or sections.

1. The prisoner's personality, including his maturity, stability, sense of responsibility, and any aspect of his personality which may promote or hinder his conformity to laws.
2. The prisoner's ability and readiness to assume obligations and to undertake responsibilities.
3. The prisoner's family status and whether he has either relatives who display an interest in him or other close and constructive associations in the community.
4. The prisoner's employment history, his occupational skills, and the stability of his past employment.
5. The prisoner's attitude toward law and authority.
6. The prisoner's conduct and attitude during any previous experience of probation or parole and how recent each experience has been.
7. The prisoner's attitude toward people.
8. Observations of the court officials, law enforcement officials, and other interested community members.
9. The type of crime(s) and extenuating circumstances for which the prisoner was imprisoned.
10. The prisoner's prior criminal record, including its nature and circumstances, how recent it was, and the frequency of previous offenses.
11. The prisoner's past use of narcotics or past habitual use of alcohol.
12. The type of residence, neighborhood, or community in which the inmate plans to live.
13. The adequacy of the prisoner parole plan as well as other factors.
14. The prisoner's conduct in the institution, particularly including whether he has taken advantage of the opportunities for self-improvement offered by the institutional programs.

STEP 4: If the Commission decides that the offender should be paroled, the next step is to **establish the conditions of parole** for the parolee. Similar to probation, there are requirements and restrictions for the parolee. Regular reporting to the parole officer is usually required, and restrictions which limit activities and associations are included.

STEP 5: The parolee is assigned to the supervision of a parole and probation officer. This officer is part of the Department of Corrections network and is often called a field worker, since the parolee is in direct contact with the officer in the field. More will be said about the specific duties of the officer in the next section.

STEP 6: If during the term of the sentence, the parolee violates parole in a serious way, the case may be referred back to the commission where the choice of imprisonment or parole is reconsidered for that individual. In the majority of cases, the parolee completes his/her sentence satisfactorily and is released from supervision.

Supervision: The Role of the Probation and Parole Officer.
In both probation and parole programs, the offender is placed under the supervision of a probation and parole officer who works for the Department of Corrections. This officer is important in aiding the offender to overcome problems and to adjust to society. The job is not an easy one and requires certain professional skills.

The probation and parole officer plays a dual role: to protect society from any new offense and to aid the offender in becoming rehabilitated. In guiding the offender toward rehabilitation, the officer knows which community resources will help the offender the most. The officer **links** the offender with the appropriate resources of the community. Figure D—1 illustrates the ideal relationship between offender, officer, and community. Over a period of time, one offender may have to use several community resources but, by the time his/her term of parole or probation is complete, these services should not be necessary.

The success of **community-based corrections** depends upon the skill of the officer in matching the offender with community programs.

In addition to the important roles of supervision and guidance, the officer is often required to do other activities as well. One duty is to write reports concerning offenders which will be used either by the judge or by the Parole and Probation Commission in making their decisions. The **presentence investigation** and report is requested by the court at the time the offender's guilt has been established, but before sentencing has taken place. This report includes background information on the offender such as academic history, employment records, family and peer relationships, previous offenses, and so on. Such information is restricted to established records in order to protect the offender from heresay, rumors, unfounded stories, etc. The report is then used by the judge to determine the appropriate sentence. Another report which the officer may be asked to write is a **preparole report**. For this report, the officer checks the situation facing the parolee once s(he) is released, including employment, residence, and support available from friends and family. This report is part of the information used by the Commission in making its decision concerning parole. An officer may have six or seven such investigations and reports to complete per month.

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community-based corrections: correction of the offender while s(he) is living in the community rather than in prison.

An officer may also be required to attend court sessions and parole hearings as a representative of the Department of Corrections. An officer may have to give testimony at violation hearings. Also, an officer prepares **affidavits** and warrants, parole warrant requests, and recommendations to the Parole and Probation Commission. Appropriate records and reports must always be maintained.

If necessary, the officer also has the power of arrest if parole or probation has been violated and a crime has been committed.

Because of the professional level of skills involved, the probation and parole officer is required to have a bachelor's degree in a field such as criminology, counseling, or psychology. A criminology student may have had the opportunity to intern with a probation and parole officer.

In addition to academic background, the suitability of the officer is evaluated on the basis of experience, personal integrity, social stability, and the ability to perform under stress. In general, men and women officers are assigned all types of offenders in rotation.

Current Offenders in the Florida System*

Incarcerated offenders:	27,717
Offenders on probation or parole:	65,617
Cost of incarceration per offender per day:	$ 20.88
Cost of parole and probation supervision per day:	$ 1.51

* Florida Department of Corrections, Annual Report 1982-83 (Tallahassee, Fla., 1984).

Summary

Do we need such alternatives to imprisonment as parole and probation? The following are some of the reasons these programs are continued:

1. Overcrowded jails and prisons cannot legally or physically support more prisoners.
2. Imprisonment is more costly.
3. The adjustment to society is more effective when the individual participates in society.
4. The resources of society with guidance and counseling of the parole and probation officer can help the offender.
5. Supervision of the offender protects society.
6. Parole and probation are not as discouraging to the prisoner as incarceration and may provide the hope that problems can be solved.

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affidavits: legally sworn statements.

The goals of probation and parole are to provide enough supervision of the offender that society is protected and to give guidance to the offender so that s(he) becomes self-sufficient and able to function successfully in society, **without** relapsing into criminal behavior. Figure D-2 illustrates the route of the offender through the correctional procedures to final release.

Now complete the review questions following diagrams D-1 and D-2.

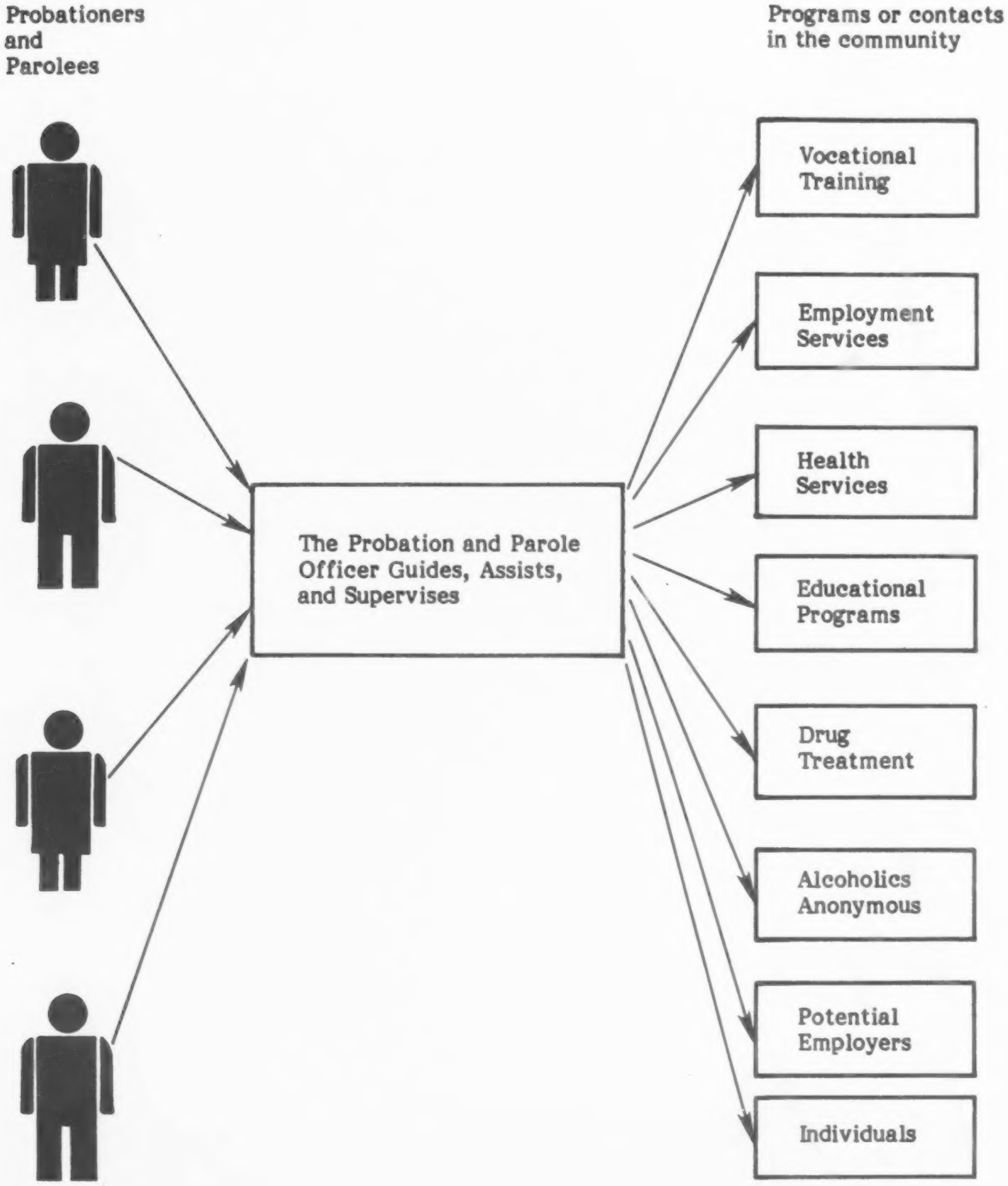
Probationers and Parolees
Programs or contacts in the community
The Probation and Parole Officer Guides, Assists, and Supervises
Vocational Training
Employment Services
Health Services
Educational Programs
Drug Treatment
Alcoholics Anonymous
Potential Employers
Individuals

Figure D-1
The Role of the Probation and Parole Officer as a Linker

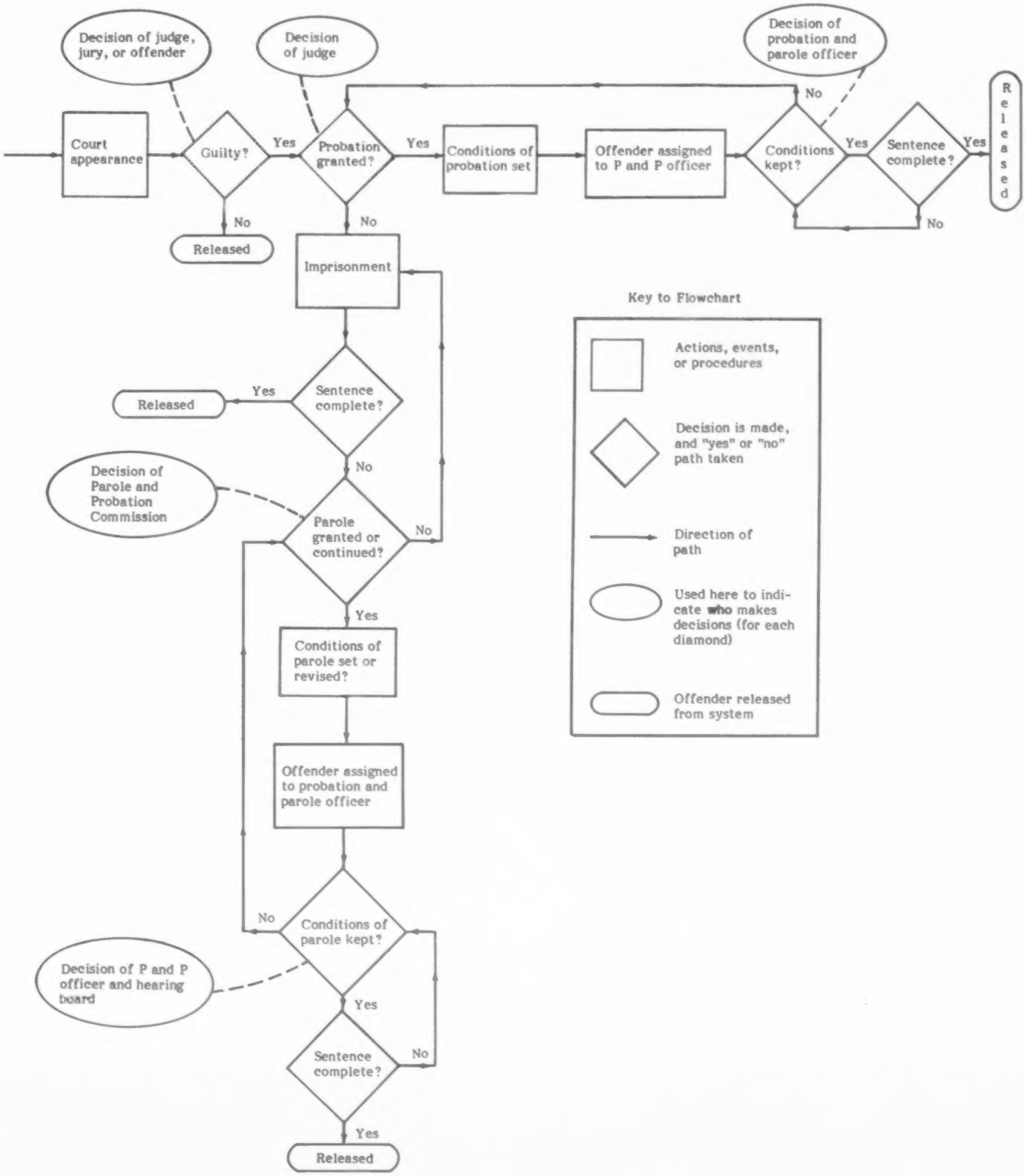
Decision of judge, jury, or offender
Decision of judge
Decision of probation and parole officer
Court appearance
Guilty?
Yes
No
Released
Probation granted?
Yes
No
Conditions of probation set
Offender assigned to P and P officer
Conditions kept?
No
Yes
Sentence complete?
Yes
No
Released
Imprisonment
Sentence complete?
Yes
Released
No
Decision of Parole and Probation Commission
Parole granted or continued?
No
Yes
Conditions of parole set or revised?
Offender assigned to probation and parole officer
Conditions of parole kept?
No
Decision of P and P officer and hearing board
Yes
Sentence complete?
No
Yes
Released
Key to Flowchart
Actions, events, or procedures
Decision is made, and "yes" or "no" path taken
Direction of path
Used here to indicate who makes decisions (for each diamond)
Offender released from system

Figure D-2
Flow Through Florida Juvenile Justice System

Review Questions (III: D)

Write your answers on a separate sheet of paper.

1. Imagine you are a lawyer appearing before a judge. You believe that the prisoner you represent should receive a term of probation instead of a prison sentence. Briefly, list five or six **advantages of probation** that you could mention.

Looking again at diagram D—2 presented in the summary on the previous page, answer questions 2-8.

2. **List** four times when the offender or suspect can be released without supervision. (Hint: look for the symbol shown below; then note what events occur before release.)

3. **Match** the decision with the decision-maker(s). (Hint: notice the symbol shown below; and to what diamond it is attached.) Write the decision-maker(s)' number next to the letter for the decision.

Decision

a. probation or imprisonment of offender
b. parole of offender
c. offender keeping terms of parole
d. offender keeping terms of probation

Decision-maker(s)

(1) probation and parole officer
(2) judge
(3) Parole and Probation Commission

4. When an offender is awarded probation, what two events follow? (Hint: notice the squares on the chart.)
5. When an offender is awarded parole, what two events will follow?
6. If the terms of probation are **not** kept, what will occur next?
7. If terms of parole are **not** kept, what occurs next?
8. If the offender is **not** given probation, what will happen?
9. **List** two differences between probation and parole.
10. **List** two similarities between probation and parole.

11. Which state was the first to use probation?

    a. Massachusetts
    b. Florida
    c. New York
    d. New Jersey

12. Which was the source of parole?

    a. Pennsylvania system of penitence
    b. Walnut Street jail
    c. Boston shoemaker supervising drunk offenders
    d. tickets of leave

13. List **four** community resources or programs which the probationer or parolee may be required to use as part of his/her terms of probation/parole.

14. When is a prisoner eligible for parole in Florida?

    a. after serving two years
    b. after serving one month
    c. the day imprisonment begins
    d. after one year

15. Write a brief definition of each of these terms as they were used in the text:

    - post bail
    - to lease
    - to incarcerate
    - composite
    - affidavit
    - pardon

16. What are **three** advantages of paroling a prisoner over having the sentence completed in prison?

17. Which of the following statements about the early Florida Pardon Board is **not** true?

    a. created by the 1885 State Constitution
    b. made up of the governor and his cabinet
    c. practices of release were fair and just
    d. people with influence stood the best chance of release

18. What is the main disadvantage which a judge must consider concerning probation?

19. What are **three** responsibilities of the Parole and Probation Commission?

20. What are the main duties of the probation and parole officer?

21. Why is a probation and parole officer considered a linker?

Check your answers with the correct ones provided in the answer key.

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Unit E: Jail Operations and Treatment Programs

Ask your instructor for the pretest for this unit (III: E). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

Introduction

The purpose of this unit is to expose you to the wide variety of situations faced by the jail officer, as well as some time-tested techniques for handling typical situations and problems which occur in a jail setting.

The topics of this unit include admissions and release procedures, control and security, supervision, discipline, and the variety of treatment programs which are provided to assist in the rehabilitation of prisoners.

The arrangement of this unit differs from most of the other units. On the following pages, note that for each topic there is a list of objectives. Next to each objective, you will find page numbers for required reading. These pages tell you the material you should study for each objective. Most of the readings are found in a set of six books called Jail Operations. Check with your instructor for copies of these books. Study all the pages carefully, since your posttest is based on the information found on these pages. You may find it interesting to read other pages as well.

After finishing the required reading, try the review questions. If you miss any questions, you should refer back to the appropriate pages indicated in the chart and study them again.

When you feel you have studied and reviewed the materials sufficiently, ask your instructor to give you the posttest.

Chart of Objectives and Required Reading

Knowledge Objectives

After completing the required reading listed in the right-hand column, you should be able to do the objectives given on the left-hand side of the chart.

Topic: Admissions Procedures	**Required Reading***
Objectives for topic: 1. Identify the types of officers who bring prisoners to jail for commitment.	 Book 2: Jail Operations, pp. 3-4
2. Identify the items that each of these officers should check before accepting custody of the prisoner.	pp. 5-14, 19, 21-25
3. State what the jail officer is to do if the prisoner is young or sick.	pp. 35, 37, 40, 47-50, 91 Book 6: Special Prisoners, pp. 3-10
4. Identify satisfactory descriptions of articles taken from prisoners at the time of admittance.	Book 2: Jail Operations, pp. 51-56, 93

Topic: Control and Security	**Required Reading**
Objectives for topic: 1. Define contraband and give examples.	 Book 2: Jail Operations, p. 59
2. Distinguish between a strip search and a frisk search and state the reasons for each.	pp. 65, 115
3. List the appropriate steps for conducting a strip search.	pp. 93-95, 81-82
4. Identify other security measures which are used in jails.	pp. 138-143, 155-157, 165-166, 169

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*Alice Howard Blumer Jail Operations, 6 vols. (Washington, D.C.: U.S. Government Printing Office, n.d.).

Topic: Supervision	Required Reading
Objectives for topic:	
1. Identify the results of good prison supervision and the results of poor supervision.	Book 4: Supervision, p. 3
2. State at least three things a jail officer can do to insure that tasks will be done properly by prisoners.	pp. 6-10
3. Identify at least four kinds of behavior to avoid in order to maintain authority over prisoners.	pp. 27-32
4. Identify at least four items to consider about a prisoner when s(he) is being considered for trusty status.	pp. 107-112
5. Identify which tasks are appropriate for a trusty, and state when supervision of these tasks is necessary.	pp. 113-117 Book 2: Jail Operations, pp. 173-174
6. List at least four rules which should be observed when escorting a prisoner outside the jail.	pp. 189-194

Topic: Discipline	Required Reading
Objectives for topic:	
1. State the difference between discipline and punishment.	Book 5: Discipline, pp. 1-2
2. Distinquish between examples of prisoner behavior which should be disciplined and those which should be punished.	pp. 2-5
3. Differentiate between formal and informal disciplinary measures indicating when each is appropriate.	pp. 4-24
4. State two principles for handling violent inmates.	pp. 29-32

Topic: Treatment Programs	**Required Reading**
Objectives for topic: 1. Identify the main types of treatment programs which are available in state prisons.	Student Guide, this unit, "Treatment Programs"
2. Identify the types of health treatment which are available to inmates of state prisons.	Student Guide, this unit, "Treatment Programs"

Topic: Release Procedures	**Required Reading**
Objectives for topic: 1. Define the different kinds of legal releases of prisoners.	Book 2: Jail Operations, pp. 97-99
2. List the steps an officer should take to confirm a telephoned release order.	p. 100
3. Identify proper procedures for prisoner release including prisoner identification, return of personal property, and release orders.	pp. 101, 103, 105, 107-109, 111

When probation and parole were discussed in a previous unit, you learned about the various kinds of community treatment and correctional programs. We will now look at some similar programs within the prison system itself.

Since rehabilitation is the final goal of the correctional system, we will look at some of the kinds of programs and treatment available.

Although the causes of criminal behavior are complex, many persons commit crimes because they do not know how to function in society. They often lack education, job skills, and social skills: they may be physically or mentally ill. Therefore, prison programs should seek to correct an individual's deficiencies. Programs to assist inmates to better themselves include education, vocational training, counseling, and medical services.

There are many reasons why a person resorts to crime. Some reasons, such as economic pressures, may be rooted in society itself. Some may come from within the person, who may be lacking in psychological and emotional well-being. Whatever the cause, the prison treatment programs attempt to provide whatever is necessary for that person to achieve rehabilitation.

There are **five** main kinds of rehabilitation or treatment programs which may be available to a prisoner:

- academic education
- vocational training
- industry programs
- social improvement programs
- medical and psychological programs

Let us briefly look at each of these programs.

Academic Education

It is true that a majority of prisoners have not completed eighth grade and many do not have basic skills. Educational programs in prison assist an inmate in obtaining an education that ranges from basic literacy skills through college-level courses. The prisoner's educational level is established by a series of tests when s(he) first enters the institution; s(he) is then encouraged to enroll in school. Many prisoners are able to earn at least the GED (high school equivalency certificate).

Vocational Training

The Department of Corrections has set up special vocational training facilities in some areas; other programs are conducted by the community college in the area. Instructors come to the major institutions on a daily basis to teach. Some of the programs available are:

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1. electrical
2. electric motor rewind
3. plumbing
4. small engine repair
5. refrigeration
6. air conditioning
7. carpentry
8. masonry
9. horticulture
10. sheet metal
11. drafting
12. appliance repair
13. beautician
14. keypunch operator
15. computer operator
16. auto body repair
17. painting
18. cook and bakery
19. welding

Correctional Industries Programs

Throughout the state of Florida, there are presently 55 industry operations. The purpose of these programs is to provide work training for the inmates, to produce goods and services, and to earn income. The income derived from these programs is turned over to the Department of Corrections, the state, or to crime victims. The skills learned by inmates will often assist them to find employment after their release. Some of these programs include:

1. license plate and decal plants
2. metal furniture
3. produce farming
4. beef and dairy farming
5. swine farming
6. timber production
7. poultry farming
8. concrete block, post, and pipe plants
9. brick plant
10. printing plant
11. clothing and shoe factories
12. cleaners and soap factories

Social and Personal Improvement Programs

There are many programs to assist inmates in the improvement of their social skills, and counseling is available in personal and vocational areas. These include:

1. religious activities
2. Alcoholics Anonymous
3. drug treatment programs
4. personal counseling
5. vocational counseling
6. educational counseling

Medical and Psychological Treatment Programs

Inmate health care needs, both physical and mental, are a top priority in the correctional system. The Florida Reception and Medical Center at Lake Butler, Florida, uses a team of persons to analyze and work with each new inmate using several diagnostic techniques, such as social investigation, medical and dental processing, psychological testing and counseling, educational testing and counseling, and religious and recreational studies.

These classification teams then make extensive program recommendations in areas such as custody, assignment, supervision, academic and vocational education, work areas, counseling, alcohol and drug treatment, and medical, dental, psychological, and psychiatric needs.

This team approach permits team members to devote as much time as necessary to each inmate, adjusting the classification period as required. The old hurried, assembly-line system of classification has been replaced with an attempt to match the appropriate programs to each inmate.

In addition to these initial medical analyses and routine services, there are occasions when jail personnel must be alert to emergency medical problems such as drug overdose and alcoholic intoxication, diabetic complications, epileptic seizure, heart attacks, appendicitis, cessation of breathing and/or heart functions, and psychiatric problems. Also, in some cases, prisoners have been known to fake illness for attention, for distraction, or just for their entertainment. Prison personnel should be aware of the possibilities of real and faked emergencies. **Suggested Supplemental Study:** Book 6: Special Prisoners, of the Jail Operations series by the federal Bureau of Prisons.

Summary

Rehabilitation of the offender is one of the primary goals of the corrections system. An offender may have access to academic education, vocational training, industrial programs, social skills improvement programs, and medical treatment, all of which are intended to improve the offender's chances for rehabilitation. The offender may also be given a variety of medical, psychological, and educational tests as well as counseling. These evaluations assist in determining what the individual's major problems are and how they can be overcome to better his/her chances of a successful return to society.

Now complete the review questions beginning on the next page.

Review Questions (III: E)

Write your answers on a separate sheet of paper.

When you have read the pages indicated in the matrix, and feel you know the material, answer the following questions. Try to do so without looking at the books.

Indicate the documents (a–g) which a jail officer should check for each officer (1–4) who brings prisoners to jail for commitment. Each officer will have more than one document checked. Write the letter of the documents next to the officer number on your paper.

Officers

1. local law enforcement officer
2. law enforcement officer from another state
3. U. S. marshal
4. parole and probation officer

Documents

a. official identification
b. business card
c. legal papers with charge against prisoner signed by judge or governor
d. commitment paper signed by escorting officer
e. commitment paper signed by arresting officer
f. proper form required by jurisdiction with signature of the marshal
g. official paper authorizing commitment

5. If a prisoner to be admitted is obviously ill, the best action for the jail officer to take would be to:

   a. proceed with admittance; then consult a doctor.
   b. consult a doctor; then proceed with admittance.
   c. proceed with admittance; place prisoner in nearby cell and watch him/her.
   d. place prisoner in a cell with other prisoners; request that they watch him/her.

6. To avoid being accused of having switched the personal property of a prisoner, the jail officer should make a list of all items at the time of admission and include **three** kinds of information. What are they?

7. What are the **three** main phases of the strip search?

8. There are several important security measures, other than body searches, which must be done in a jail. List four such measures.

9. Which of the following will help prisoners complete their tasks as requested? (Choose **all** correct answers.)

   a. Make clear exactly what the prisoner is to do.
   b. While the prisoner is working, check to be sure the work is being done correctly.
   c. Teach how to do the job correctly, if necessary.
   d. Always assign the work to more experienced prisoners.

10. A jail officer should **not**:

   a. give informal advice about marriage problems to the prisoner.
   b. give clear orders on work tasks.
   c. ask if the prisoner knows how to do a job.
   d. listen to a prisoner sympathetically following a court appearance.

11. Complete the following sentence concerning trusty tasks: "The trusty must be closely supervised for tasks which affect ____________."

12. Teaching or training the prisoner is the main goal of ____________ discipline.

   a. unusual
   b. formal
   c. harsh
   d. informal

13. ____________ discipline should be tried first with a prisoner, if possible.

   a. Unusual
   b. Formal
   c. Harsh
   d. Informal

14. ____________ discipline often involves talks with the prisoner; ____________ discipline involves writing a report to the administration. (Give two short answers.)

15. If a prisoner becomes violent, list the two principles the jail officer should remember for subduing the prisoner.

16. Give a brief definition of the following kinds of release:

   a. release to a detainer
   b. posting bail

17. List **three** appropriate ways to check a prisoner's identification at the time s(he) is to be released.

18. The first step when returning a prisoner's personal property is to ____________.

Check your answers with the correct ones provided in the answer key.

Ask your instructor for the pretest for this section (III: F-1). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

There have been two major tendencies in the history of corrections: to punish or to rehabilitate the lawbreaker. Much of juvenile corrections shares that history. In fact, it was mentioned in an earlier section (II: D-1) that child and adult offenders were treated the same in earlier times. One of the major goals of the early prison reformers and the so-called "child savers" was the separation of children from adults, both during the trial procedures and in the kinds of corrections used.

Much of what you have read about the history of juvenile justice and the juvenile court system (II: D-1) is true for juvenile corrections as well. The British philosophy of parens patriae, where the court takes responsibility for the welfare and correction of the wayward child, led to the separation of children from adults in corrections. As we have seen, this social work corrections approach was sometimes too demanding for an individual judge to carry out adequately. Also, the informal court procedures led to abuses of children's rights.

In the 1970s and continuing to the present, concern for the individual and emphasis on rehabilitation have dominated juvenile corrections and led to many changes. In this first section we will look at some general characteristics of juvenile corrections, and then the second section will focus on specific correctional programs in Florida.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the main characteristics of juvenile corrections and explain how they differ from those of adult corrections.
2. Identify the historical relationship between the juvenile court system and juvenile corrections.
3. Identify differences between formal and informal corrections.
4. Explain or define these concepts related to juvenile corrections:
    - restitution
    - community-based corrections
    - halfway houses
    - wilderness camps
    - residential institutions

Some Characteristics of Juvenile Corrections

The term "corrections" implies treatment and rehabilitation rather than punishment or retribution. Traditionally, our society has been optimistic about the potential for success in rehabilitating young people before their criminal behavior becomes a habit. We will discuss four main characteristics of the juvenile corrections system which separate it from adult corrections.

Goal of Rehabilitation

One of the main characteristics of juvenile corrections is more tolerance toward the young offender. The focus and effort is on rehabilitation and giving the child another chance. Although punishment for the adult offender has become stricter as crime increases, the corrections system is still patient with the young lawbreaker, especially first-time offenders.

Use of the Social Services Department

Another important characteristic of juvenile corrections is that many juvenile correctional activities are now handled by a social services agency of state government rather than the judicial branch or the Department of Corrections (as with adults). The report of the 1967 President's Commission on Law Enforcement and the Administration of Justice recommended the establishment of youth services bureaus offering a wide range of services. Many states have established these services so that social, economic, and individual concerns can be taken into account in juvenile justice cases. This places importance on finding and treating the **causes** for a child's misbehavior. Instead of going through formal court proceedings, a juvenile offender may take part in treatment programs, counseling, work assignments, and so on.

Protection of the Individual

A third characteristic is the effort to protect the juvenile offender, especially a first-time offender, from lasting damage. For example, when the judge finds that the juvenile has committed a delinquent act, the conviction is not recorded as in the adult criminal court, and thus the child does not have a record. The child's name is kept out of the news media and, if necessary, hearings may be closed by the judge to protect the child. If the child appeals his/her case, only the child's initials are used. In addition, commitment to a full-time residential facility, such as a training school, is the last option considered for disposition. Social service authorities think it is better for a child to remain in a familiar environment if possible; for that reason, a program of community-based corrections (probation) is the first choice. Even when juveniles are found guilty of a serious crime in the adult criminal court system, corrections preference is to keep them separated from older offenders, mainly to protect them physically. In contrast, the adult offender is not given so many options and is often considered dangerous to society; s(he) will more often be imprisoned, especially for repeat offenses.

Role of the Juvenile Court

Another characteristic concerns the role of the court in corrections. In the adult criminal justice system, the suspect is not punished (or treated) until s(he) is found guilty during the court process. There is a clear separation between court and corrections processes in the adult system. Juvenile corrections programs, however, are not so clearly separated from the judicial process. Remember from your reading of the history of juvenile courts (II: D-1) that formerly children could be taken away from their families by order of the courts to be "corrected" before they had committed any crime. This approach to corrections was an extreme application of parens patriae, the philosophy that the government is responsible for the welfare of its citizens. Some judges interpreted this philosophy to mean they could decide what was best for the young people.

Reactions to the overly protective court included a series of Supreme Court decisions which strengthened the rights of accused juveniles in court and changed the role of corrections. The juvenile court judge today often has the role of overseeing correctional plans for juvenile offenders but is no longer the only person who decides exactly what happens to them. In most states, treatment programs, counseling, and training programs are now operated by a government social services agency and often begin before formal court hearings. In fact, the offender may avoid formal court procedures altogether.

Informal and Formal Corrections

Informal Corrections

The informal correctional process for juvenile offenders is spread out and, to a large extent, undocumented. The official number of arrests and court hearings, formal commitments, or official dispositions represent a small part of those youths involved in serious acts of delinquency or crime. The juvenile corrections process includes informal action taken by teachers, parents, police officers, churches, private and public social services, and schools. For example, many schools offer a class in "special instruction" which emphasizes acceptable lawful behavior in our society. Many police officers run informal probation and disciplinary programs similar to the plea-bargaining processes in adult criminal cases. These alternatives help avoid the serious court overload which would result if all accused juveniles came through the court system. The social services department of today's state government often makes correctional decisions, placing children in informal probation situations such as community programs or weekend work programs. As a result, an accurate count of how many children are in corrections programs for their antisocial behavior may not be possible. Although the juvenile

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parens patriae: guardian (or parent) of the country.

court system has outgrown the parens patriae concept, its influence is still evident in these informal corrections processes.

Formal Corrections

At the court hearing, when a juvenile offender has been found guilty of a delinquent act, the judge chooses an appropriate corrections program for the juvenile. Formal corrections are those programs which follow formal court procedures.

Juvenile corrections has taken an about-face in attitude since the last century. Previously, authorities took children away from home environments which they suspected were harming the child. Today, the juvenile offender lives at home whenever possible and participates in community programs as part of his/her corrections treatment.

Many kinds of corrections programs have been tried. The main goal of any program is, of course, to help juvenile offenders solve their problems so that they can live in and contribute to society.

Now we will look at three main types of formal corrections.

1. **Community-based corrections.** As often as possible, the judge will assign the juvenile offender to a community-based correctional program similar to probation. The juvenile lives at home and has to meet certain requirements. This approach is preferred in formal corrections, since the major goal is helping the child live acceptably in the community. As with adult probation, the offender is assigned to someone who checks on his/her behavior. This person is a youth services counselor from the social services department rather than a probation and parole officer from the corrections department. The counselor helps the juvenile fulfill obligations assigned by the judge and acts as a friend.

   As part of probation, a juvenile may be assigned to a work project or community service project. These activities are often combined with the requirement of **restitution**, so that, if possible, the juvenile offender pays back the victim for loss or damage. If that is not possible, the juvenile pays back the community through volunteer service work. Another kind of correction program is **treatment or counseling**, to help the juvenile overcome problems such as drug addiction or psychological disorders. A third kind of community-based activity for the juvenile offender is **education and training.** A juvenile may either continue at his/her school or be assigned some specific training or educational experience. In an experimental program in Massachusetts, older juvenile offenders were sent to a college campus instead of reform school. They were given spending money and attended classes. College students received a small salary to help them. The juvenile offenders adjusted well, and the program was considered successful.

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restitution: making up (paying) for loss or damage.

These kinds of community-based programs can be combined to establish the youthful offender's correctional plan. In most cases, an essential key to the plan is the counselor. This counselor meets regularly with the juvenile to encourage him/her to make progress and to discourage the temptation to fall back into old, less desirable habits.

2. **Halfway houses and wilderness camps.** Sometimes a juvenile offender needs more guidance and treatment than is provided by living at home. Another alternative would be a place where the juvenile can stay for a short while and possibly receive intensive treatment services. Such facilities include halfway houses and group treatment homes.

   Another corrections alternative places the juvenile in an environment very different from home, often out of doors. Wilderness camps, forestry camps, or training ships are examples of such programs; Homeward Bound is a specific example. In these small-group programs, the juvenile can learn self-discipline, responsibility, and cooperation with others as well as survival in the outdoors. These programs may include a combination of work responsibilities, counseling, therapy sessions, and vocational training.

3. **Behind bars.** The most serious correctional alternative for a juvenile offender is being sentenced to a long-term residential institution run by the state. These facilities include training camps, training schools, state schools, secure detention facilities, and so on. Developed from the reform schools of the previous century, they are the most secure form of incarceration and are used for those juveniles who present serious discipline problems. They are usually structured to provide educational and/or vocational training during the day with secure dormitory facilities at night. The programs ideally include counseling, corrective therapy, vocational training, and recreation. However, these schools are often not well-funded and are criticized for being only "institutional warehouses." After the youngster's release, usually in about six months, s(he) often is assigned to a community-based program where supervision continues.

Results of Corrections Programs

We have discussed some of the experiments and programs which attempt to improve juvenile corrections. Are any of these programs superior in helping strayed juveniles back to the preferred path of acceptable behavior? One way to decide whether a program is successful or not is to keep track of how many offenders completing the program return to crime (**recidivism**).

The results of these programs vary. Some juvenile offenders have benefitted from one kind of program, while others don't benefit from it at all. But even for those who adjust to a particular program, the success rate is not promising. So far, the percentage of those who stay out of trouble is not much better than in the days of reform schools. Still,

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recidivism: a tendency to return to criminal behavior.

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many of the correctional programs are providing more humane treatment than in those earlier days. The variety of correctional programs at least gives the juvenile offenders and their case workers alternatives to choose from in trying to find a program that works.

Summary

Four characteristics of the juvenile corrections system which distinguish it from adult corrections are shown in the chart below:

Characteristic	Juvenile Corrections	Adult Corrections
1. goal emphasized	rehabilitation	tends toward stricter disposition
2. governmental department responsible	social services, welfare, health, etc.	judicial branch and/or corrections department
3. attitude toward individual and society	protection of individual	protection of society and justice to individual
4. role of court	minor role; court may be avoided	usually no corrections without court proceedings

There are both **informal** and **formal** juvenile corrections procedures. Informal correction includes actions taken by parents, teachers, and religious leaders as well as social service departments and police departments. Formal corrections occur in juvenile court proceedings where the judge makes assignments to correctional programs.

Three broad kinds of correctional programs are described in this section, ranging from community-based to full-time institutional care. They are listed below with their identifying elements:

1. **Community-based corrections**

   - most preferred form of correction
   - opportunity for youngster to live at home
   - counselor or social worker assigned
   - restitution stressed
   - work project, treatment program, education/training

2. **Halfway houses, camps, etc.**

   - youngster is away from previous environment for a short time
   - often takes place in wilderness or outdoor environment
   - stress on self-discipline and cooperation with others
   - counseling, therapy, vocational training

3. **Residential institution**

- least preferred type of correction
- full-time residence, considered long-term (six months or more)
- primarily for juveniles with most serious problems
- should provide training, counseling, and therapy

Now complete the review questions beginning on the next page.

Review Questions (III: F-1)

Write your answers on a separate sheet of paper.

1. List **three** characteristics of juvenile corrections discussed in this section which make it different from adult corrections.

2. Explain by giving examples what each of the above characteristics means.

3. Which of the following statements is true concerning juvenile corrections in the past?

   a. There was a clear separation between court and corrections processes.
   b. The influence of parens patriae was weak.
   c. Corrections might occur **before** a youth committed any crime.
   d. Judges had little to do with corrections.

For each of the following sentences, identify whether it is more typical of formal (F) or informal (I) corrections. Write F or I by the number on your paper to indicate your choice for 4-8.

4. The judge decides on the corrections program.

5. Parents require better behavior from their children.

6. Schools have special instruction for children who are undersocialized.

7. Juveniles who go through various procedures and participate in programs are carefully counted.

8. The police officer or the social services counselor recommends participation in a drug treatment program.

Write a brief explanation of the terms below (9-13) and tell how each relates to juvenile corrections.

9. restitution

10. community-based corrections

11. halfway house

12. wilderness camp

13. residential institution

Check your answers with the correct ones provided in the answer key.

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Section 2: Florida Juvenile Corrections

Ask your instructor for the pretest for this section (III: F-2). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

In Section 1, you read about: (1) how general characteristics of juvenile corrections make it different from adult corrections; (2) that not only formal but also informal (nonjudicial) corrections are widely used; and (3) that nationwide, there is a large variety of corrections programs that have been attempted for juvenile offenders.

In this section, we will look more specifically at Florida's juvenile corrections programs. The ideal in any corrections program is to rehabilitate the offender so that s(he) no longer uses crime to solve personal problems, to have a good time, to get even, to take a dare, or for any other reason.

Florida is attempting to offer a wide variety of programs ranging from tolerant to highly restrictive so that each juvenile offender is given the most appropriate combination of treatment and sanction.

NOTE: If you have the diagram, "Flow through Florida Juvenile Justice System" (III: D-2), page 48, you may find it helpful as you read this section.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. State what JASP is and identify some of its characteristics.
2. Identify the difference between nonjudicial and judicial handlings of juvenile cases.
3. Identify the differences among the categories of formal corrections.
4. Distinguish among certain Health and Rehabilitative Services (HRS) corrections programs by their descriptions, characteristics, and purposes.
5. Identify what the data indicate about recent trends in juvenile corrections.
6. Identify three agencies having control over juvenile offenders and tell which legislative chapters apply to each.
7. Use and define the following vocabulary words found in this section:
    - arbitrate/arbitrator
    - criterion/criteria
    - to diversify/diversified
    - furlough
    - to innovate/innovative
    - petty larceny
    - to restrict/restrictive
    - sanction
    - vandalism

How do you think a 12-year-old caught shoplifting because of his brother's dare should be corrected? What about a gang of kids who burglarize a home in the neighborhood so they can have money for drugs? And what about a 17-year-old who robs people in the street and doesn't care if they get hurt? Should these juvenile offenders all be treated the same? Should efforts be made to determine if they have personal problems? Should they be taken off the streets and locked up? For every kind of crime, for every child, for every circumstance, there might be a different answer. Let's look at some of the possible answers Florida is testing in the area of juvenile corrections.

Nonjudicial Handlings

In Section 2 of Block II, Unit D, on the juvenile court system you read that there are many ways a juvenile offender can avoid entering the juvenile justice system. These ways included:

- the police department turning the juvenile over to his/her parents for correction (decision point 1)
- the Health and Rehabilitative Services (HRS) intake counselor recommending a voluntary program in counseling or treatment (decision point 3)
- the state attorney deciding on counseling or treatment or dismissing the case altogether (decision point 4).

These decisions are made **before** the offender appears in court and are, therefore, called **nonjudicial handlings**. One could also consider them similar to informal corrections, as discussed in the section you just covered.

Take the case of John and Bill,* two brothers aged 14 and 12, who were out with their parents buying new clothes for school. While their parents were in the boys' clothing section, John and Bill were looking at school supplies. John suddenly grabbed a package of pencils and put them in his bag. Then he motioned for his younger brother to do the same. As they casually moved away and left the store, the store security guard grabbed them and called the police. The parents were upset, saying that the boys had never caused any problems, and now they were in serious trouble. The boys thought they would have to go to jail.

Instead, however, the HRS counselor placed the boys in the Juvenile Alternative Services Program (**JASP**). This program, sponsored by the Department of HRS and operated by the University of West Florida and other institutions, gives young offenders a second chance. If a child completes the requirements of the program, the charges are dismissed.

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*Although the names have been changed, this situation was recently described in a newspaper article.

The child does not have to appear in court and will not have a juvenile court record. To go into JASP, however, the youth must take responsibility for committing the offense. If the child insists that s(he) is innocent the case then continues through the court process. JASP most often deals with cases of retail theft, **petty larceny**, disorderly conduct, and **vandalism**.

What kind of program is JASP, and what are some of its requirements? After the juvenile is recommended for the program by the HRS intake counselor, the juvenile may be assigned to a volunteer trained as an **arbitrator**. The arbitrator then meets with the young offender, his/her parents, the victim, the law enforcement officer on the case, and any witnesses. After hearing their comments, the arbitrator decides upon the appropriate treatment for the offender. Two basic ideas of JASP are (1) imposing sanctions appropriate to the offense and (2) encouraging the offender to accept responsibility for his/her actions.

In many cases, the offender is required to make restitution, that is, pay back the victim for damaged or stolen property. If monetary restitution is not possible, the young offender may have to make up for his/her offenses by working in the community. John and Bill worked 20 hours picking up trash in the community park. They also took a class on law enforcement where they had to write an essay about the effects of their shoplifting on their family. Here is a part of John's essay:

"When I stold the things I stold I was very scared when the guy stopped me and my brother in the hall. And when we got home, my mother and father really let us have it. . . . And we were grounded for about four weeks. And I knew I hurt my mother and father real bad and I also told them I would never do a thing like this again."*

The arbitrator is often a volunteer from the community who has attended JASP training sessions. The volunteer will spend about eight to ten hours on each case, talking to the police, school personnel, and others before meeting with the family. The arbitrator who worked with John and Bill stated that "ninety-nine percent of the kids are real good kids. If you can get through to them, you probably won't have problems with them again."** He finds that often the kids have just made a poor decision, reacting to peer pressure or the excitement of the moment.

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* Nanci Hellmich, "Juvenile Alternative Services Program," Cocoa Beach Today, 6 November 1982, pp. 1D, 5D.

** Ibid.

petty larceny: theft of small amounts.

vandalism: damage or destruction of property.

arbitrator: a neutral party who hears different sides in a conflict and then decides how the conflict should be settled.

to arbitrate: to settle a conflict using a neutral party.

As an example of a corrections alternative to the juvenile court route, the role of JASP is growing and now includes:

- the family attending counseling sessions
- participation in a drug treatment program
- volunteer work in the community.

The youths and other family members as necessary are assigned to these alternatives. The offender and his/her parents participate voluntarily; the court does not order them to do so. However, they are expected to meet the requirements of their programs and report to the counselor.

Most such programs are short-term, 90 days or less. In return for meeting these requirements, charges are dropped and the case is closed. If requirements are **not** met, the case goes back on the court track.

Judicial Handlings Leading to Formal Corrections

Florida Statutes, Chapter 39, known as the "Florida Juvenile Justice Act," initially established responsibility for handling juvenile corrections. The act identified the roles of juvenile court, HRS, state attorney, and law enforcement as those functions of the state which would deal with juvenile cases. When the circumstances of a case are more serious, the case continues to the next step of the juvenile justice system, and the judge of the state circuit court, juvenile division, becomes involved. These cases are considered **judicial handlings** and often lead to **formal corrections**. These three broad categories of formal corrections are discussed below:

1. community control (similar to probation)
2. commitment to HRS
3. adult sanctions through the Department of Corrections

Community Control

Let's now look at an example given earlier, the group of youngsters breaking into a home.

Terry's case had gone to court. He had been part of a gang of kids who had committed several house and apartment break-ins. They were looking mainly for jewelry, small appliances, and other items which they hoped to sell quickly. Some of them then planned to buy drugs. At the end of Terry's **adjudicatory hearing**, the judge said, "Well, Terry, all the evidence seems to show that you went along with your friends when they broke into the Jones home, damaging the sliding glass door, and stealing some things. How do you feel about this?"

"I never thought of being caught," Terry replied. "This has sure been scary. My parents are really mad at me—I guess I don't blame them.

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adjudicatory hearing: hearing where judgment or decree was given or pronounced.

And I'm real sorry for the trouble I caused those people. Will I have to go to jail now?"

"No, Terry, I don't think so. Since you said you only went with these kids once and since you were the youngest of the crowd, we'd like to give you another chance. I think you can change and not do that again. What do you think?"

"I think so, too. I've learned my lesson. The older guys told me that robbing would be easy, and we wouldn't get caught. They said they thought I'd be too scared and chicken to do it. So I wanted to show them . . . ."

The judge decided to "withhold adjudication of a delinquent act"* in Terry's case. Instead, she placed him in a community control program under the supervision of a counselor.

A community control program, much like probation for adults, is geared to the juvenile and his/her situation. The child lives at home but has certain restrictions and requirements. The program involves two parts: **sanctions** (penalties) and **rehabilitation.**

Sanctions could include making restitution, abiding by a curfew, losing one's driver's license, or participating in a community work program. In a work program, the child works for the victim at a volunteer service agency, nonprofit organization, or a branch of government doing tasks such as raking leaves, washing police cars, and picking up trash. Children can't be placed in dangerous jobs—logging operations, for example. Sanctions teach children that they must pay for their misbehavior.

Rehabilitation is a chance to help a child if and when s(he) has personal or social problems. Often rehabilitation includes counseling sessions, drug treatment programs, and safety or education programs.

Parents may also be involved in treatment programs or in paying restitution. The HRS counselor works closely with the whole family to help members meet the program requirements.

In Terry's case, the judge assigned him to a community control program which consisted of the following parts:

- restitution to the victim of $50 toward the cost of the sliding glass door
- 20 hours in a community work program cleaning debris off the trails in the city park (money earned was used for restitution)
- curfew of 8:00 week nights and 10:00 p.m. weekends for two months
- counseling sessions for a minimum of 10 hours (Terry did not use drugs but was being influenced toward them by the older kids.)
- regular meetings with the HRS counselor for three months

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* This is an option of the judge which protects the child; even if the child has committed the offense, the judge withholds formal judgment, giving the child a chance to change and to repay the damage.

criterion (singular); **criteria** (plural): standard(s) or rule(s) by which something is measured or judged.

Commitment to the Department

If the court finds the child guilty of a delinquent act, it may commit the child to HRS, a more serious disposition than community control. Whether to commit an individual child or not depends on **criteria** such as violence or seriousness of the offense, protection of the community, and criminal history of the child.

Chapter 959 of the Florida Statutes establishes that HRS has the responsibility for providing juvenile corrections programs and facilities for the state. These programs are to be **innovative** and **diversified**, providing treatment, care, and control of offenders committed to the department.

As you may remember from Block II, The Court Systems, the HRS counselor reviews the juvenile offender's background and recommends in the predisposition report to the judge three HRS programs that would be best for that juvenile. The judge lists the programs in order of preference and, if there is room, HRS places the juvenile in the preferred program.

Let's look at some of these programs which range from nonresidential to full-time residential.

1. **Community-based treatment centers (nonresidential and short-term residential).**
   The majority of HRS programs (around 12 different ones) are community-based, nonresidential, or short-term residential. In the past several years, most changes and expansion in HRS corrections programs have been away from the training school idea and **toward** community-based programs. Three of these programs—TRY centers, Project S.T.E.P., and halfway houses—are described below to show you the variety in HRS programs. They are described in order, from the least to the most **restrictive**.

   - **TRY (Training and Rehabilitation for Youth) centers.** The coed TRY centers are for 30 youths, ages 14 to 17, considered capable of making a successful adjustment within their own community. They are nonresidential; that is, the youths actually live at home. They participate in intensive treatment services during the day. Included in these activities are group and individual counseling sessions, educational and vocational programs, and part-time work in the community. One meal a day is provided. The usual commitment is for four months. One goal of TRY centers is to help youths become more responsible in their daily lives, gaining attitudes of self-respect and concern for the community. Another goal is to help youths avoid commitment to stricter residential programs. This text will refer to TRY Centers as programs for

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innovative: new; making changes.

diversified: varied; having several parts or options.

restrictive: limiting.

those committed to the department (HRS). However, noncommitted youths may also be there as part of their community control program.

- Another nonresidential program is the **Associated Marine Institute,** which teaches skills such as seamanship, navigation, and marine science.

- **Project S.T.E.P. (Short-Term Elective Program).** This project is run for HRS by the Outward Bound school. It is an 8-week program for 8 to 10 youths, 15 years or older, with 2 Outward Bound instructors. To be accepted, the youth must understand the program's purpose, must not be afraid of water, and must pass a physical exam. These groups spend most of their time in the wilderness learning survival and safety skills. Part of the program includes a 300-mile canoe trip from the Atlantic to the Gulf of Mexico. Participants camp along the way, preparing their own food.

  Goals of Project S.T.E.P. include helping the youths develop self-discipline, responsibility, independence, and cooperation, as well as increasing physical and mental fitness. Following their trip, the youths continue with group counseling, job searches, and education. The S.T.E.P. staff stay in close touch with them.

  - Other HRS programs with similar restrictions are wilderness (work) camps, Short-Term Offender Programs (S-T-O-P), and family group homes.

- **Halfway houses (community residential).** Halfway Houses are a little more restrictive than the S.T.E.P. project. They are short-term residential treatment centers in urban areas for either 25 boys or 20 girls, ages 14 to 18. Florida's first halfway house was established in 1968 and was the first alternative to the residential training schools for juvenile offenders. There are now 24 halfway houses.

  Here the youths live together, learning to share duties, assume responsibilities, and solve everyday problems together. Group counseling takes place approximately eight hours a week. During these sessions, each child identifies his/her problems, identifies possible solutions, and tries them out. Emphasis is placed on understanding oneself and one's relationship to others. The group supports and encourages each member.

  Part of the program is training in practical living skills such as hygiene, attending to one's personal appearance, finding a job, and meeting responsibilities. Youths also may attend local public academic or vocational schools or may work in the community.

  - Other HRS programs of similar restrictiveness include group treatment homes and Short-Term Adolescent Rehabilitation and Treatment (START) centers.

2. Training schools (long-term residential).

The most restrictive of the HRS corrections programs is the long-term residential training school. There are presently three in Florida; there were five in 1979. All the short-term programs discussed above are community-based; that is, the youths are expected to participate in the community as part of their program, whether they live at home or an HRS facility.

Training schools, in contrast, are physically separated from the community. Children are housed in cottages in groups of 20. They are required to stay on the grounds of the training school. These schools are designed to handle the serious juvenile offender who requires the highest levels of security.

According to HRS, the mission of a training school is:

". . . to provide a residential setting for committed delinquent youth which combines custody, care and control through a variety of programs to assist a youth's development including academic and vocational skills, personal growth, and self-awareness through positive group interaction."*

What are training school activities? As you can imagine, they are part of a tightly scheduled and planned environment, especially compared to other HRS programs. Ideally, the juvenile continues with his/her academic education and receives training in vocational skills. A big part of the program includes individual and group counseling with psychologists and social workers. The goals of counseling are to develop a positive self-image, to help each individual achieve emotional growth, and to help each child relate to others successfully. Part of the difficulty in such an institution is to break down the child's psychological barriers put up as protection and to gain that child's confidence and trust. It is not surprising that the child views commitment as punishment and "arrives at the school fearful, suspicious, and distrustful. The youth does not necessarily see the training school as a source of help in getting along with society; instead he quickly realizes the need to conform to the training school so as to return home as soon as possible."**

At the completion of a juvenile's term, usually between six months and a year, s(he) is likely placed **on furlough**. That is, the juvenile is assigned to one of the community-based programs mentioned above where the juvenile can be helped in adjusting to community living and where s(he) will continue under some kind of supervision.

We have briefly discussed some of the corrections alternatives of HRS, ranging from the community-based non-residential TRY centers to the restricted, residential training schools. A third corrections alternative for juveniles, involving the Department of Corrections, is described next.

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* Department of Health and Rehabilitative Services, Florida State Training Schools, HRS Manual 175-4 (Tallahassee, Fla.: State of Florida, 1982).

** HRS Manual 175-4, pp. 1-2.

Adult Sanctions through the Department of Corrections

Remember the example of the 17-year-old who has been holding people up on the streets, sometimes leaving them hurt? For a juvenile committing such a serious offense, there is an alternative route through the justice system. As you read in the unit on juvenile courts, such cases may go into the adult criminal court system. In those circumstances where a juvenile is tried and convicted as an adult, s(he) would then be under the control of the Department of Corrections, the agency which has jurisdiction over adult offenders. However, juvenile offenders and young adult offenders between 18 and 21 years old are separated from adult offenders and are treated differently. Chapter 958 of the Florida Statutes, called the "Florida Youthful Offender Act," provides some protection for the young offender.

1. **Legislative Intent of Chapter 958.**
   The purpose of this act is to improve imprisoned youthful offenders' chances of correction and successful return to the community by preventing their association with older and more experienced criminals during their confinement. It provides the court another option when dealing with **offenders who have demonstrated that they can no longer be handled safely as juveniles**, and who require more substantial restrictions to ensure the protection of society.

2. **Eligibility for Youthful Offender Classification.**
   This includes any person who:

   - is at least 18 years of age or is a juvenile transferred for prosecution to the adult criminal justice system
   - is found guilty of a felony of the first, second, or third degree, if committed before the 21st birthday
   - has not previously been classified as a youthful offender.

However, no person who has been found guilty of a capital or life felony can be classified as a youthful offender under this act.

3. **Dispositions Provided for.**
   The following are possible dispositions under this act:

   - placement in a community control program not to exceed two years or to extend beyond the 23rd birthday
   - commitment to the Department of Corrections for a period not to exceed six years, with not more than four years to be served by imprisonment and a period of not more than two years in a community control program.

NOTE: This act has been discussed in the sections on adult corrections and the court systems. You should be aware that juveniles may come under adult corrections control as well.

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With a more personalized approach to corrections and the addition of numerous corrections programs to help juvenile offenders, is the problem of juvenile crime lessening? Do juveniles who go through corrections programs then stay away from crime?

Let us check some data covering several years to see if there is a trend. Below is a chart showing the number of referrals to HRS* for several fiscal years.

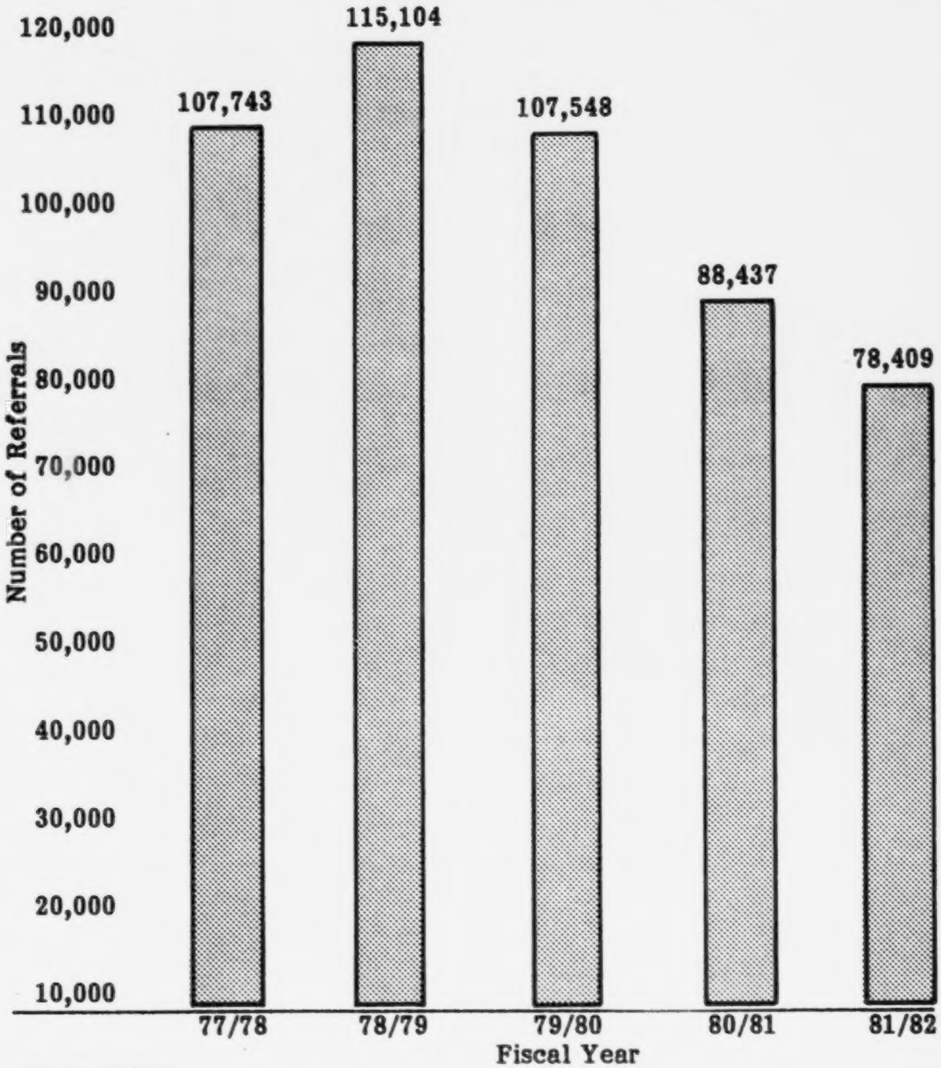

Figure F-2-1.
Juvenile Delinquency Referrals to HRS

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* Susan J. Kirsch, Children, Youth, and Families: Statistical Package FY 81-82 (Tallahassee, Fla.: Department of Health and Rehabilitative Services, 1983).

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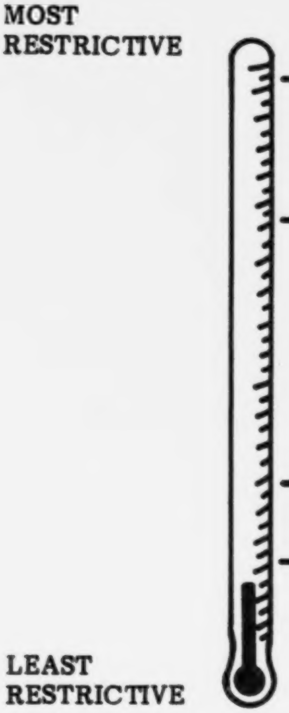
Based on the chart, juvenile crime seems to be decreasing in the state. This is due in part to success of the smaller programs which are more numerous and less expensive to run than the large training schools. Although the chart shows steady reduction, the total number of offenses committed is still high. The two approaches to this problem, social services vs. imprisonment, each have their supporters. While both corrections methods are still in use, however, current practice has shifted toward the less restrictive type of treatment for juvenile offenders.

Summary

Approaches to Corrections

The following chart summarizes the various approaches to corrections discussed in this section. Read it as a thermometer with "degrees of restrictiveness" going from the bottom (least restrictive) to the top (most restrictive).

Referrals to HRS 1981-1982*



Judicial Handlings (Formal Corrections)		21,843
Adult Sanctions		2,883
Commitment to HRS		5,155
— Training schools	1,708	
— All other community-based HRS programs	3,248	
TRY Centers	199	
Community Control		14,805
Nonjudicial Handlings (Informal Corrections)		32,431
(JASP & Other Community Programs)		

Figure F-2-2.
Types of Corrections, 1981-82

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* Kirsch, Statistical Package, 1983.

The numbers in the right-hand column may give you an idea of how often these corrections programs are chosen. You can see that **by far** the most widely used form of corrections was nonjudicial, such as JASP.

Community control programs assigned by the judge are next in frequency. Note that as the chart goes from least restrictive to most restrictive, the number of cases goes down. This means that there are far fewer juveniles in the high restrictive programs than in the low restrictive programs. Note, too, that when juveniles are committed to the department, only about 33 percent go to the training schools. The rest are in community-based corrections.

What the data do not reveal is the overall effectiveness of the various programs—how good they are. An independent research study which is to begin soon may tell us the answers to these questions:

- Which kind of program works best overall?
- What kind of program works best for a certain kind of individual?
- Does the same individual go through several different programs?
- How much recidivism is there in juvenile corrections?
- Do juvenile offenders become adult offenders?
- Is the present system too easy on hardened juveniles and too hard on the others?

Legislative Background for Juvenile Corrections

Chapter 39:	"Florida Juvenile Justice Act." Establishes roles of juvenile court, HRS, state attorney, law enforcement.
Chapter 958:	"Florida Youthful Offender Act." Establishes Department of Corrections as responsible for correction of youths tried and convicted as adults.
Chapter 959:	Establishes HRS as primary department responsible for juvenile corrections.

Now complete the review questions beginning on the next page.

Review Questions (III: F-2)

Write your answers on a separate sheet of paper.

1. What is JASP? What is its main purpose?

2. JASP is an example of:

    a. judicial handlings.
    b. adult sanction.
    c. community control.
    d. nonjudicial handlings.

3. Often an important requirement of JASP is that:

    a. the offender appear without delay before the judge.
    b. the offender pay restitution.
    c. a curfew is imposed on the offender.
    d. the offender be committed to the department.

4. Community control, commitment to HRS, and adult sanctions are categories of:

    a. formal corrections.
    b. nonjudicial handlings.
    c. voluntary corrections.
    d. sanction and rehabilitation.

Match the HRS programs with their descriptions by writing the letter (a–e) of the program next to the description number (5–9) on your paper.

Description

5. nonresidential program

6. survival and safety skills taught in the wilderness

7. short-term residential centers in urban areas

8. long-term residential program

9. youth uses resources of community

HRS Programs

a. community-based treatment centers
b. TRY centers
c. Project S.T.E.P.
d. halfway houses
e. training schools

For 10–15, identify whether the statement is true of community control (CC), commitment to HRS (HRS), or the Department of Corrections (DC). Indicate your answer by writing CC, HRS, or DC by the number of the statement on your paper.

10. A juvenile may be classified as a youthful offender.

11. A 14-year-old who is a first-time offender, taking part in a burglary, would probably be assigned to ____________.

12. Control of the offender may continue beyond age 19.

13. Much like adult probation, this type of correction includes sanctions and rehabilitation.

14. When a child is found to have committed a delinquent act, this is the usual corrections decision.

15. The judge receives recommendations for three programs in _______.

Indicate which of the following statements (16–20) are true and which are false concerning trends in juvenile crime and corrections. Write T or F by the statement number on your paper.

16. Juvenile crime is increasing rapidly in the state.

17. The most common type of juvenile correction is commitment to HRS.

18. Community control is the type of formal corrections used most often.

19. There are more juveniles in restrictive programs than in nonrestrictive programs.

20. The trend since 1969 has been toward more strictness—building more training schools, lowering the age of adult criminality, and using longer sentences.

Match the following descriptions (21–24) with the appropriate legislative chapter (a–c) by writing the letter of the legislative chapter next to the number of the description on your paper.

Description

21. referred to as the Florida Youthful Offender Act

22. establishes overall procedures for juvenile justice

23. establishes the Department of Corrections as responsible for juveniles convicted as adults

24. clarifies responsibilities of HRS in juvenile corrections

Legislation

a. Chapter 39
b. Chapter 958
c. Chapter 959

Complete each of the following sentences with the best word from the list below. Write the letter (a–l) for the correct word(s) next to the number (25–30) on your paper.

a. an arbitrator
b. criteria
c. diversified
d. furlough
e. innovative
f. petty larceny
g. restrictive
h. sanction
i. a counselor
j. vandalism
k. disorderly conduct
l. restitution

25. As part of her corrections program, Jane had to pay for the damaged bike. This payment was a type of ______.

26. When a judge decides whether an offender should be committed to the department, s(he) considers several ______, such as the offender's background.

27. When released from a training school, the juvenile often must continue under supervision during ______.

28. Several new, or ______, corrections programs have been added since 1980.

29. ______ is a neutral participant working out an agreement between the victim and the offender.

30. The legal term for stealing small amounts is ______.

Check your answers with the correct ones provided in the answer key.

Student Guide Block IV

COMMUNITY RELATIONS

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Block IV: Community Relations

Unit A: Human Relations

Ask your instructor for the pretest for this unit (IV: A). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

Introduction

From time to time, stories appear in the news media concerning questionable official conduct by law enforcement officers. Use of excessive force, arrest without a warrant, unequal treatment of minorities, and Fifth Amendment infractions are typical of the complaints involving law enforcement officers. Why do these things happen?

The extent to which law enforcement officers understand themselves, human behavior, and the context of the laws they are enforcing will determine the quality of their relations with the public and their fellow officers. In this unit, we will look at the role human relations play in the daily conflicts law enforcement personnel must deal with.

Unit A covers types of conflict and their characteristics, as well as how law enforcement officers should deal with them. This unit explains the basic concept of constitutional rights, and how the daily official conduct of a law enforcement officer is governed by this concept. You will learn how emotions and attitudes influence behavior, and how the law enforcement officer should treat threats and challenges of an emotional nature. Finally, this unit gives specific remedies for poor human relations in law enforcement, listing techniques for improving contacts with the public.

Objectives

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Identify the characteristics of conflict.
2. Describe equal protection as set forth in the Constitution.
3. Identify the source of the principles that form the foundation for law enforcement.
4. List four causes of poor human relations in law enforcement.
5. Identify how emotions affect behavior.
6. List the characteristics of emotionally stable behavior.
7. Identify important characteristics of attitudes.
8. Identify the effects of threats and challenges on law enforcement officers.
9. List the three abilities needed for proper handling of contacts with citizens.
10. Identify seven remedies for poor human relations in law enforcement.

"Lawless law enforcement!" declares the TV news announcer. The headline in the morning paper proclaims, "Police Brutality!" Magazine articles tell of "abuse of power," "official law breaking," and "misguided zeal." Let's look behind these headlines and news stories to see what probably caused the official misconduct and what law enforcement officers need to know and practice in order to avoid questionable behavior.

Finding possible answers to the following questions will help us understand the problems faced by professional law enforcement personnel:

- Why are there problems involving official conduct?
- What are the basic principles involved in law enforcement?
- What are the causes of problems involving official conduct?
- What are the remedies to these problems?

Why Are There Problems Involving Official Conduct?

Let's begin with the fact that the great majority of law enforcement officers are well-adjusted men and women who are able to control their emotions under most circumstances. However, as in all professions, people have bad days, or, in some cases, simply turn sour. However, it is these few who become news stories, who lack the emotional stability to deal with conflict, and who, therefore, have problems handling human relationships in their profession.

Law enforcement officers are not superhuman; they are normal, everyday people with human feelings, emotions, and attitudes. They are husbands, wives, mothers, fathers, neighbors, church and club members —people with private as well as professional lives. They bring to their jobs all their past experiences—and all their present stresses and anxieties.

Much of a law enforcement officer's professional life is spent dealing with conflicts. There are two basic types of conflict: **inter**personal and **intra**personal. The first type refers to conflict **between** or among separate groups or individuals, as in a gang war or an argument with an officer. The second type indicates conflict **within** a single group or an individual, for example, how an officer with a child may feel when arresting a child rapist.

Type of Conflict

Interpersonal	Intrapersonal
between or among groups	within a group
between or among individuals	within an individual

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Conflict assumes **some type of opposition** and builds up from both feelings and actions. Conflict occurs first with feelings of opposition; these **feelings then must be displayed as action**; and finally, the **target of these feelings must suffer from the attack and respond to it.** Remember, the conflict may be a struggle **for** as well as **against** something. When the struggle or conflict is **for something**, the focus of the conflict shifts **to the achievement of certain goals.**

Basic Principles Of The Constitution As They Apply To Law Enforcement

The Preamble of our Constitution states that "all men are created equal." This means **equal protection for all citizens** under the laws of the Constitution.

The equal protection clause of the Constitution provides direction for daily official conduct. Equal protection means that law enforcement officers:

- must be "color blind" in their dealings with **all** persons
- as agents of state government, are bound by constitutional safeguards limiting arbitrary power over the individual
- cannot use force against any person unless it is justified and reasonable
- must make arrests only according to the authority given them and must dutifully respect its limitations and restrictions.

An officer must understand and appreciate that the Constitution is the **origin of his/her power** and **accept the limits of those powers.** Our laws are founded on the principle that we, the people, are governed with the consent of the governed. Therefore, a law officer cannot change or willfully misinterpret these basic safeguards. Individual freedom must be respected, regardless of temptations or opportunities to do otherwise.

In our democratic society we are guaranteed certain rights and freedoms by the Constitution. Law officers are charged with upholding and enforcing the laws of the local jurisdiction which employs them—in addition to the laws set forth in the Constitution. In a time when crime is growing rapidly the law enforcement officer faces the dilemma of enforcing laws and preventing crime without violating constitutional safeguards to individual freedom. The law enforcement officer must first thoroughly understand and appreciate the historical, political, and legal aspects of our basic guarantees of individual freedom; and second, practice good human relations techniques to avoid violating these constitutional guarantees.

Causes Of Problems Involving Official Conduct

If law enforcement officers know the principles underlying their authority, why is their official conduct sometimes less than perfect?

An analysis of some of the incidents in news stories mentioned earlier indicates that the following conditions contribute to some or all of the incidents:

- lack of emotional stability
- poor or unacceptable attitudes
- improper reactions to threats and challenges
- poorly handled contacts with others

We could analyze many other conditions, situations, and circumstances, but a closer look at each of the above conditions will help you understand why official behavior is sometimes less than desirable.

Lack of emotional stability. Sometimes we hear news stories about police officers who let their emotions get the best of them. This happens to all of us at some time, but a police officer cannot let emotions control a situation. Just how and why do emotions create such problems?

Researchers have concluded that the way your emotions affect your behavior is partly an inherited characteristic modified by life's experiences. To most people emotions are the way we feel—happy, sad, or angry. This is the **psychological** part of emotions; we are aware of them because we feel something. Those feelings may be weak or strong, pleasant or unpleasant, long lasting or short-lived. Emotions may also be classified as psychologically pleasurable or painful. Normally, we are attracted by pleasurable things and repelled by painful things.

Emotions are also **physiological.** When you experience a strong emotion, there are changes in your breathing, blood pressure, pulse rate, glandular secretions, digestive system, and blood composition. These physiological changes create an imbalance, and, as your system seeks to restore balance or relieve tension, you are **motivated** to take some action. Acting on your emotions will cause visible changes in your behavior. These changes may range from a violent display of temper when you feel angry to laughter when you feel happy. Our emotions help determine what we will do and how; they give direction to our behavior.

Reactions to emotions follow this sequence:

- awareness of the emotion-arousing situation
- arousal of feelings (love, anger, happiness)
- physiological (organic) reaction
- corresponding behavior

How do we know whether a person is emotionally stable or unstable? First, we need to understand that stability is partly a matter of perception. What one person considers stable, may be perceived as unstable by another; there are not clear lines between what is considered normal or abnormal. However, an emotional display which seems acceptable and understandable for a citizen may be inappropriate for a police officer. Officers are expected to act with restraint; their official status demands this kind of conduct. The officer who maintains a neutral approach to all conflict situations is acting appropriately even though s(he) may seem unemotional to the public.

If there is no exact yardstick for measuring emotional stability or instability, how can we define the limits of behavior for a police officer? We must rely instead on experience and human history to determine the most acceptable range of behavior for law enforcement officers.

Emotionally stable behavior in these terms may be described as:

- appropriately expressive for the situation
- reasonably predictable
- customarily consistent
- flexible enough to fit the occasion
- under control, without unusually volatile, sudden, or erratic reactions.

Also, such emotionally stable behavior need not be unresponsive or expressionless. We simply mean that behavior which is appropriate in intensity for the circumstances does not include erratic or unexplainable mood changes.

Problems caused by poor or unacceptable attitudes. Let's begin our examination of the part attitudes play in official misconduct by stating that law enforcement officers have as much right to personal attitudes as you or I have. Problems arise when the officer allows personal attitudes, beliefs, or values to influence official decisions. **Attitudes** are combinations of feelings and knowledge which influence behavior. They are habits of mind or preexisting dispositions that cause certain reactions. Attitudes are learned; they develop as a result of our experiences. When our attitudes about something become strong enough to include a general category, we have developed a **prejudice.**

One characteristic of attitudes is that generally they are not neutral. Attitudes cause us to react favorably or unfavorably toward something. Even so, the law officer must strive to keep personal bias from influencing his/her professional conduct.

Reactions to threats and challenges. The conflicts officers must deal with frequently involve threats and challenges.

A **threat** can be an indication of some impending unpleasantness or an expression of intent to commit harm. A **challenge** is perceived as a dare, which may bring physical or mental harm if not successfully resolved.

Posing a threat or making a challenge is a way of trying to gain control over another person's behavior. Threats and challenges may be real and clearly expressed, or they may be implied, imagined, or bluffs. In order to have an effect, the threat or challenge must seem real to the person it is directed toward. Officers must be prepared to react appropriately to expressions of aggressive intent, whether real or bluff. Law enforcement officers must also be aware that their authority can be threatening to private citizens. A private citizen's behavior and communication can be affected when s(he) is confronted by a police officer.

Further on in this unit we will discuss some suggestions for handling threats and challenges.

Poorly handled contacts. Not all contacts a police officer makes during his/her workday are conflicts, but poorly handled contacts can become conflicts. To ensure that any routine contact does not become a conflict, the officer must have these three characteristics:

- the ability to observe accurately
- the ability to interpret those observations realistically
- flexibility in choosing actions to be taken

Since no two situations are alike, flexibility is of greater value than the **rigid** interpretation of rules. A flexible officer will "size up" a situation accurately and then choose an approach which seems most appropriate to the circumstances.

The skills needed for handling contacts in a positive and successful way mature with experience. Now let's discuss some specific methods for developing those skills.

Seven Possible Remedies

We have examined problems involving human relations in law enforcement, the principles involved, and some of the causes. Now, let's explore some of the techniques and personal characteristics an officer can develop to improve the quality of human interaction. These seven remedies are as follows:

1. **Observe the professional code.** The police officer is a professional employed to do a professional job. Professionalism as a model for conduct will provide strength for an officer in the face of conflict. Officers who are always professional in conduct and bearing earn the respect and admiration of clients, private citizens, and peers. As public officials, officers must not let personal feelings affect their public duties. If officers conduct themselves at all times as representatives of the law following the code of their profession, they will have few problems dealing with conflict in human relationships.

2. **Use physical exercise.** Conflict will frequently create hostilities and frustrations which must be kept under control. A simple way to dissipate these pent-up emotions is by transferring them into physical activity. Physical exercise can counter the emotional pressure to fight, thus "tricking" the body into relaxing. Working out in the gym, running, or joining in team sports following an emotional conflict will provide an outlet for feelings of hostility and frustration which might otherwise explode into unprofessional conduct.

3. **Play "third party" role.** Another way to handle conflicts between groups or individuals is to play the "third party" role. Through the ages, conflicts have been solved by reliance on a neutral, objective third party. The third party function also operates in families when one or both parents try to settle family conflicts. In our courts of law, we find the system highly developed as juries hear evidence and impartial judges interpret the law.

To be acceptable to both opposing groups or individuals, officers must be disinterested and objective in their resolution of the conflict. They must be perceived as individuals with nothing to gain, regardless of which party wins the dispute. Officers are often expected to function in a third party role because of the visual symbols of badge and uniform, but, once this position is achieved, it must be maintained. Officers cannot allow either side to undercut this third party role and must not be drawn into the conflict by feelings favoring one side or the other.

They must act with strict objectivity and fairness, avoiding expression of likes or dislikes which might jeopardize the neutral role. Even when dealing with a single individual, the officer must remain an objective, neutral third party.

4. **Promote and maintain mental health.** We learned earlier in the unit that officers should understand themselves and be able to identify their own strengths and weaknesses. This is the foundation for mental health. Avoid becoming a victim of your own emotions. Some suggestions for promoting and maintaining your mental and emotional health follow:

- You have to adapt yourself to the basic nature of your job.

- Behave like a professional. Feelings are unavoidable, but your behavior must be kept under control. For the police officer, it is the behavior feelings produce that counts most.

- Emotional behavior considered normal and expected by private citizens is often inappropriate and inexcusable in an officer of the law. Again, behave like a professional.

- Learn to control your emotions.

- Emotional stability should not be confused with unresponsive coldness. Normally appropriate, human expressions of feelings are desirable, but excesses should be avoided under any circumstances.

- The majority of complaints against officers involving discourtesy and police brutality result from situations where anger is encountered. You will be working in a highly emotional climate. Learn to control your anger and, when it is aroused, do not permit yourself to be trapped into foolish name calling or violent rage.

- Consider the psychological state of the private citizen. Those who attack you may be temporarily out of control because of momentary, difficult situations; may be harboring a deep-seated and long-standing hatred for police; may be psychotic and not responsible for what they are doing; or may be baiting you intentionally.

- Find ways of getting away from the stresses of the job. Develop outside interests and hobbies and participate in community affairs or church activities. Developing interests away from the job can provide needed safety valves.

5. **Keep check on your attitudes.** Although you are entitled to your own opinions and attitudes, you must not allow them to influence your official decisions. Check attitudes which surface during professional contact to be sure they are objective and neutral. Recognize and understand cultural differences and avoid extremes in attitudes towards national and ethnic groups. Be aware of negative attitudes and prejudices and work to overcome them. Never allow a dislike for a client to show, or your contact will be more difficult and ineffective.

6. **Parrying threats and challenges.** Threats to law enforcement officers are insinuated or implied more than they are acted out. There is great difference in an implied and an overt threat or challenge. Following are some suggestions for handling such situations:

   - When the threat or challenge seems to be a verbal emotional release where the person is "letting off steam," let the person talk. Don't be trapped into unprofessional conduct; be firm, fair, and just.

   - When you cannot tell how serious a threat or challenge is, buy time to size up the situation by talking to the person and asking questions.

   - When the threat or challenge seems intended as an offensive weapon, the best defense is to strictly follow professional standards.

   - When the threat or challenge is **real**, your reaction should be immediate and decisive.

7. **Practice courtesy.** Courtesy comes at the end of this list of remedies, but it is probably the officer's most important technique in day-to-day human relationships. Some general rules for courteous behavior by the professional law enforcement officer follow:

Courteous Behavior

General Rules

- Be courteous in dealing with **all** individuals.

- Remove headgear when entering court, a place of worship, a residence, an elevator, and any place indoors such as an informal visit to schools, meetings, or receptions.

- Open official contacts with "please" and close with "thank you."

- When a question is addressed to two or more officers in a group, the senior or superior officer should answer, unless he indicates another.

- Do not monopolize any conversation; permit others to speak freely.

- When engaging in conversations with the public, be guided by the following rules of conduct:

  - If angry, calm yourself down before engaging in conversation with a citizen.
  - Be courteous at all times to citizens.
  - When you are insulted by a citizen, overlook it.
  - Do not express your personal views on controversial topics when on duty.
  - Be understanding of the citizen's point of view.
  - Never raise your voice during a conversation with a citizen.

- If anyone helps you in any manner, for example, when an informant furnishes information, respond appropriately. Make a special effort to talk with and thank the person, or, if appropriate, write a letter.
- Show respect and courtesy to elderly people; treat them with extra consideration.
- Address members of the clergy by proper title, i.e., Father, Reverend, Pastor, Brother, etc.
- Be firm and courteous in dealing with the public, without being overly humble. Never feel you must apologize for being an officer—be proud of your profession.
- Never treat a question as stupid or silly. Answer courteously or try to get the answer if you don't know it.
- Always stop, smile, and speak to youngsters.
- Obey rules of the road when you drive and park.
- When serving as escort for ranking officials or other dignitaries, your dress should be immaculate and your bearing military at all times.

The Salute

- When the flag is passing or the national anthem is being played, mounted officers in uniform dismount, come to attention, and salute facing the flag or music.
- Officers in uniform and armed render the right hand military salute.
- Officers in civilian dress take the headdress in the right hand and hold it over the left breast.
- While rendering either of the two salutes, stand at attention, with left hand down alongside seam of trousers and heels together.
- During inclement weather, headgear may be held directly above the head.

- When the flag approaches in a parade, all persons within sight face the flag until it passes in review. This proper salute is rendered when the flag is 30 feet away and held until the flag has passed.

- When the national anthem is played where the flag is present, render the proper salute to the flag and hold until the anthem is finished.

- When retreat is sounded on a military reservation, any officer attending, officially or otherwise, renders the proper salute.

Funerals

- Stand at attention with head uncovered and hold headdress over left breast while casket is being moved, including as it is lowered into the grave.

- Uniformed officers serving as active pallbearers keep heads covered while carrying the casket.

- An officer assigned to traffic control, if conditions permit, stands at attention and salutes with cap over left breast while hearse and family are passing.

- If an escort terminates at entrance to cemetery, the escorting officers stand with cap over left breast at attention facing each other on each side of entrance until procession has entered.

- If a law enforcement car meets a funeral procession and conditions permit, the driver should stop off the roadway and all occupants should remove their headgear until the procession has passed.

Telephone courtesy

- Answer the telephone promptly.

- Identify your department and name, i.e., "Anytown Police Department, Patrolman Jones speaking."

- Speak naturally and in a friendly manner.

- If you cannot render the required service, switch the call to someone who can.

- Do not keep the caller waiting for long periods of time. Call back if necessary.

- Return all calls.

- Have paper and pen ready to record important facts and information.

- When you make a call, plan in advance what you want and have records and facts ready.

Courtesy to tourists

- The impression you give tourists may be the only contact they have with your city. Consider yourself a "roving ambassador." Smile and show a sincere interest in assisting travelers. Be friendly. Be brief. When giving instructions, do the following:
  - — Indicate turns by right and left, not north and south.
  - — Refer to traffic signal lights, not street lights.
  - — Do not give more than three directions; advise them to ask further at that point.
  - — If you feel that your instructions are not understood, ask if you should repeat them.
  - — If you feel more time is needed, ask the driver to pull over to the curb.
- You should be able to provide information about your city. If you do not know your city and county, learn about them.
- Make visitors feel at ease and welcome.

Courtesy to fellow officers

- Being courteous to your fellow officers increases your faith and confidence in each other, adds dignity to the profession, and creates high morale. You will discover that courtesy is contagious.

Courtesy at special events such as parades, sports events, etc.

- Well-informed, courteous responses to queries pay big dividends.
- An officer's positive attitude will promote a friendly atmosphere.

Traffic courtesy

- "May I see (or check) your driver's license, please," not "Where in the hell are you going?"
- "Mr. Jones, you were exceeding the speed limit, and I must give you a traffic (or warning) ticket," not "Where's the fire?"
- Use standard arm and hand signals when directing traffic, not verbal abuse.
- If your initial approach is not courteous under all conditions, you deserve to be treated rudely as well.
- Do not argue. There is no excuse for arguing.
- Drive courteously.

Common sense rules

- Become genuinely interested in other people.
- Smile. It costs nothing and means a lot.
- Remember that a person's name, to him or her, is the most important sound in any land. Listen to the name; if there is any doubt, ask how it is spelled. Use the name several times during the conversation. Write the name down, look at it, then discard it.
- Be a good listener and encourage others to talk about themselves. You don't learn anything when you are talking.
  - We learn most by listening.
  - People interested only in themselves are hopelessly ignorant, no matter how educated they may be.
  - Make the other person feel important, and be sincere. Ralph Waldo Emerson once said, "Every man I meet is in some way superior in that I can learn something of him." If you know someone who condemns law enforcement, make it a point to ask about his/her business, job, interests. Remember, if you talk to people about themselves, they will listen for hours.

Simple methods of persuasion

- The only way to win an argument is to avoid it.
  - "A man convinced against his will is of the same opinion still."
  - The less you say, the less your client can say you said when you go to court.
- Show respect for the other person's opinion. Never tell anyone s(he) is wrong. Be wiser than other people if you can, but don't tell them you are.
- If you are wrong, admit it quickly.
- Let the other person do most of the talking.
- Let the other person claim the idea under consideration.
- Try honestly to see things from the other person's point of view. Try to develop **empathy**, the ability to "pick up" how others are feeling.

Two paragraphs from J. Edgar Hoover are quoted here as a final word about courtesy in law enforcement:

"Any police officer who lacks courtesy toward his fellow man and towards the citizens who pay his salary might drag the entire department down to his level in the eyes of the citizenry. It is my personal opinion that, unless a police officer is endowed with the great asset known as courtesy, he is a failure. When we think of the great men of our times, we think of courtesy. It is an outstanding trait of men."

"The citizens of our respective communities deserve courteous treatment and, unless they receive it from officers of the law, they will look upon every man who wears a badge as a bully who glories in this authority. If, however, in our daily lives, we practice courtesy towards all with whom we come in contact, we shall earn all citizens' respect and thereby build a greater profession."

Summary

Our government is based on the principle of government by and for the people, and our constitution provides safeguards for an individual's freedom through equal protection under the law. Law enforcement officers must understand that their powers originate in the Constitution and that they must accept the limits of those powers. Individual freedom must be respected regardless of temptation to do otherwise.

Most law enforcement officers are well-adjusted men and women who know and understand themselves, general human behavior, and the context of the laws they are enforcing. However, for a few individuals, conflicts may cause problems involving official conduct.

Conflicts may be interpersonal or intergroup, intrapersonal or intragroup. Conflict assumes opposition between individuals or groups but may also represent a struggle **for** as well as **against** a person, thing, or idea. Conflicts begin with feelings of opposition which are then displayed as actions. And conflict cannot exist unless there is a target for these displayed feelings, someone who is in a position to suffer from the attack and respond to it.

Problems in handling conflicts in human relations are frequently caused by a lack of emotional stability, negative attitudes, poorly handled contacts, and threats and challenges which may occur between the police and their clients and citizens.

Emotional stability is a matter of perception, for there are not clear lines between what is considered normal and abnormal. An officer who is emotionally stable displays behavior which is appropriate for the situation; behavior which is reasonably predictable and consistent; and behavior which is controlled and unerratic.

Attitudes are preexisting habits of mind that cause certain reactions to people, things, or ideas. When attitudes are broadened to include other similar objects or ideas, they become prejudices. Attitudes are generally not neutral; they result in favorable or unfavorable reactions. Law enforcement officers must always react as professionals not easily influenced by personal attitudes.

Human relationships between law enforcement officers and citizens are also affected by threats and challenges which may originate from either party. The nature and authority of the officer's job is intimidating to some people who may see it as a threat. The threat or challenge is used as a means to gain control of a situation and may be implied, imagined, or a bluff.

To prevent such conflicts, the officer must be able to observe accurately, interpret the observations realistically, and be flexible in choosing a course of action.

Law enforcement officers can learn techniques and develop personal characteristics for handling human relations in positive ways. These seven methods include:

- reliance on the professional code of conduct
- working out job stress through physical exercise
- playing the objective and neutral third party role
- promoting and maintaining mental and emotional health
- keeping check on personal and professional attitudes
- understanding the workings of threats and challenges
- practicing courtesy in **all** interactions with fellow human beings.

Now complete the review questions beginning on the next page.

Review Questions (IV: A)

Write your answers on a separate sheet of paper.

1. Interpersonal conflict means: (Choose **all** correct answers.)

   a. conflict between groups of people.
   b. conflict within a group of people.
   c. conflict between people.
   d. conflict within a person.

2. Which of the following describes conflicts? (Choose **all** correct answers.)

   a. We display feelings of opposition through actions toward someone or something.
   b. Conflicts are only struggles against someone or something.
   c. Conflicts begin with feelings of opposition.
   d. The target of an action is aware of and in a position to suffer from the action.

3. Equal protection as set forth in the Constitution means: (Choose **all** correct answers.)

   a. arrest only according to authority given.
   b. protection regardless of race.
   c. use of maximum force at all costs.
   d. arbitrary power over the individual.

4. The basic principles of law enforcement originate in:

   a. department rules and regulations.
   b. state laws.
   c. local laws.
   d. the Constitution.

5. List the four causes of poor human relations which were discussed in this section.

6. Which of the following statements is true of emotions?

   a. Emotions have psychological and physiological components.
   b. Emotions have no effect on the way we behave.
   c. Emotions express only pleasureable feelings.
   d. Emotions are completely in the mind.

7. List the **five** characteristics of emotionally stable behavior.

8. Attitudes may be described as: (Choose **all** correct answers.)

   a. constantly changing.
   b. habits of mind.
   c. stored away tendencies to act.
   d. mind sets with which we are born.

9. Threats and challenges: (Choose **all** correct answers.)

   a. are an attempt to gain superiority or control over another.
   b. are always clearly expressed.
   c. are interchangeable terms.
   d. must be perceived as such in order to be effective.

10. List the **three** characteristics an officer should have for handling citizen contacts in a positive way.

In questions 11-19, based on the seven remedies for improving human relations and the rules for engaging in conversations with the public, select the best phrase to complete the statement.

11. Officer Jones has handled several cases during her shift which have created extreme hostilities and frustrations. At the end of her shift, it would be best for Officer Jones to:

    a. stay at work until her emotions are under control.
    b. pick a fight with another officer.
    c. go to the gym and work out.
    d. go home and talk with her family about the problems.

12. An officer pursued and stopped a driver who had run a red light at a dangerous intersection. He found that the driver was intoxicated and was a former friend and classmate. The officer should:

    a. give the driver a warning ticket.
    b. follow the professional code for an officer.
    c. just talk to his friend.
    d. take his friend home and sober him up.

13. The third party role means that an officer maintains a position which:

    a. favors a third party.
    b. is subjective and preferential.
    c. allows three choices.
    d. is objective and neutral.

14. In general, a police officer dealing with teenagers should:

    a. establish two-way communication with them.
    b. insist that s(he) can solve their problems.
    c. force them to respect the law.
    d. avoid face-to-face contact.

15. Occasionally, a police officer may be required to deal with a mentally disturbed person. In such a situation, the officer should, as a rule:

   a. try not to frighten or excite the person.
   b. take no action unless a doctor is present.
   c. avoid speaking to the person.
   d. consider the person harmless.

16. A police officer is asked to talk to a neighborhood group about the use of force in making arrests. One person in the meeting says, "The trouble with you pigs is that you always want to beat a man's brains out." The police officer should say:

   a. "With most criminals you must use force."
   b. "Some people may think that, but that's not the way it is."
   c. "Only idiots call us pigs."
   d. "I won't talk with people who hate the police."

17. Police officers are assigned to duty at a school where parents are picketing to get the principal removed. When the police accompany the principal as he leaves the building, some of the parents scream insults at the police and yell, "We'll get him tomorrow." The **best** course of action for the police to take is to:

   a. give summonses to the leaders of the pickets for threatening the principal.
   b. warn them that picketing will be forbidden if the insults continue.
   c. ignore the insults but watch out for any violent actions.
   d. arrest the leaders of the pickets to make an example of them.

18. After breaking up a fight at a party, two police officers find it necessary to arrest a man. While taking him to their patrol car, they find that a small crowd has gathered on the street. The people in the crowd are friends and neighbors of the man, and they demand angrily that he be set free. The **first** action that the officers should take is to:

   a. draw their guns to prevent the crowd from getting out of hand.
   b. offer to go back inside and discuss the matter with the leaders of the crowd.
   c. threaten the crowd with arrest if anyone tries to get in their way.
   d. tell them the man is under arrest and let them know where he is being taken.

19. While assigned to a post near a movie theater, a police officer observes that an elderly woman attempting to leave the theater is finding it difficult to pass through a large crowd of teenagers who are waiting to buy admission tickets. Under these circumstances, the best course of action for the officer to take **first** is to:

a. escort the woman through the crowd and direct the youths to form a line to make room for departing patrons.
b. inform the theater manager of the condition and request that the theater manager assign an usher outside the theater to maintain order.
c. ignore the incident, since the woman has not asked for assistance.
d. direct the cashier of the theater to stop selling tickets until order has been restored.

Answer questions 20 and 21 solely on the basis of the information below.

When engaging in conversations with the public, police officers should be guided by the following rules of conduct:

- If angry, calm yourself down before engaging in conversation with a citizen.
- Be courteous at all times to citizens.
- When you are insulted by a citizen, overlook it.
- Do not express your personal views on controversial topics when on duty.
- Be understanding of the citizen's point of view.
- Never raise your voice during a conversation with a citizen.

20. A police officer strongly believes that there is no gasoline shortage of any consequence and that the high price of gasoline is the responsibility of the gas station owners. While he is walking patrol he encounters a gasoline station owner who complains that everyone is holding the owners responsible for the high price of gasoline while the blame should be put on the large oil companies. An appropriate reply on the part of the police officer should be to tell the owner that:

a. the gas station owners are responsible for the high price of gasoline.
b. many people may agree with the owner.
c. he is making a lot of money and should not complain.
d. the large oil companies and their practices are responsible for the high price of gasoline.

21. A police officer, driving a radio car down a narrow one-way street, observes a van approaching him in the wrong direction. The driver of the van drives up onto the sidewalk and stops, narrowly missing the radio car. Laughter is coming from the back of the van. The officer is upset and angry. The driver of the van laughingly shouts to the police officer, "Man, what's happening?" In this instance, it would be most appropriate for the officer to:

a. shout, "You almost killed me!"
b. calm down and say to the driver, "You were going the wrong way on a one-way street."
c. shout at the driver, "I'll get you good now!"
d. calm down and say, "Hey you, how many drinks have you had?"

Check your answers with the correct ones provided in the answer key.

Block IV: Community Relations

Unit B: Crime Prevention

Section 1: Develop and Manage Community Crime Prevention Programs

Ask your instructor for the pretest for this section (IV: B-1). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

This unit contains two related sections. In Section 1, you will be introduced to three main volunteer community crime prevention programs. You will also find out how you can provide leadership to mobilize a neighborhood or school crime prevention program. Finally, in Section 2, you will learn how to implement and maintain volunteer community efforts and public policy in an environment planned for crime prevention. In fact, there are many things you can do to your residence, business, and property to decrease the chances of break-in. These are also discussed in Section 2 of this unit.

Previous blocks in this course have provided an overview of what the law enforcement, corrections, and court systems do after a crime, emergency, or disaster has occurred. Unit B covers **what can be done to prevent crime.**

Section 1 of this unit covers the two main crime prevention organizations known as Youth Crime Watch and Neighborhood/Apartment Watch. Specific steps are given for implementing and maintaining each program, with an explanation of the law enforcement officer's role in their development. In addition, Neighborhood/Apartment Watch offers the special services of Block Watch, Operation Identification, Citizens Radio Mobile Patrol, Home Security Inspection, and Crime Prevention Advisory Committee. You will learn the specific organization and procedures of each activity and develop ways for initiating these programs into your own community or school.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the two main community crime prevention programs.
2. Sequentially list the steps a citizen takes to **implement** Youth Crime Watch.
3. Sequentially list the five steps for **implementing** Neighborhood/Apartment Watch.
4. Identify the role law enforcement agencies should take in community crime prevention programs.
5. Identify the five steps for **maintaining** Neighborhood/Apartment Watch.
6. Identify the benefits of Neighborhood/Apartment Watch.
7. Identify the benefits of Youth Crime Watch.
8. Identify the benefits of Citizens Radio Mobile Patrol.
9. Identify the benefits and procedures of a home security inspection.
10. Identify the benefits and procedures of Operation Identification.
11. Identify the benefits of a crime prevention advisory committee.

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Urban apartment living often breeds **apathy** which contributes to the conditions in which crime occurs. When crime increases, people often turn inward because they may be afraid of what is happening outside their own apartment units. People are naturally territorial creatures. When they live in private homes, surrounded by their own yards and fences, it is natural for them to feel protective about their property. These territorial instincts are eroded by an impersonal living environment in which people ignore what is happening outside their own residences. Since crime is largely an activity of opportunity, it will flourish when it is ignored. We will discuss in greater detail this relationship between the physical environment and crime in Section 2.

Even in suburban environments, the increasingly mobile, transient nature of our society discourages people from getting to know their neighbors. When people ignore suspicious activities going on in their community, it encourages crime.

We can't turn back the clock to a safer, less urban way of life. We can't always control where we live or how often we move. However, we need not accept crime as a part of our life. By organizing members of the school and community into crime prevention programs, people can decrease the conditions that make crime likely to occur.

Crime Prevention Programs

Two major crime prevention programs have materials available to help you get a program started in your community. They are Youth Crime Watch and Neighborhood/Apartment Watch; see Table 1 for a list of their services. Your instructor may give you brochures for some of these programs.

Youth Crime Watch

The target population for this program is elementary and secondary school students. The purpose is to learn the steps one can take to lower the incidence of crime and to organize crime prevention services which are more effective than individual efforts. Many activities of Youth Crime Watch are different from those of other crime prevention programs. Neighborhood/Apartment Watch is composed primarily of neighbors who provide each other mutual protection by watching one another's residences. Since members of Youth Crime Watch do not necessarily live in the same neighborhood and are not heads of households, Block Watch and property marking would not normally be among their activities. Like other crime prevention organizations, Youth

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apathy: lack of feeling or emotion; lack of interest or concern.

Table 1

Crime Prevention Programs	Target Population	Activity	Benefits	Role of Law Enforcement Agency
1. Youth Crime Watch	School students	Form a network within a school to put peer pressure on students to avoid and report crime	1) Creates school pride 2) Reinforces non-criminal behavior through peer pressure 3) Lowers school crime 4) Creates a bond with law enforcement officers	1) Provide leadership at beginning 2) Present assemblies and demonstrations 3) Provide nonthreatening contacts
2. Neighborhood/Apartment Watch	Residents in a community or apartment complex	Form a network within an apartment complex or a community to watch one another's residences and coordinate other needed services	1) Encourages neighborhood cohesiveness 2) Provides security for unattended residences 3) Provides crime deterrents for the community	Provide leadership at establishment and as needed for maintenance of the program

Table 1—Continued

Services	Target Population	Activity	Benefits	Role of Law Enforcement Agency
1. Block Watch	Members of residential community	10-15 neighbors provide mutual protection against burglary and report suspicious activities to law enforcement agencies	1) Provides indispensable service at low cost 2) Reports suspicious activities to law enforcement agencies 3) Develops bonds between law enforcement agency and neighborhoods 4) Provides knowledge about criminal tactics	1) Provides leadership at beginning and as needed for maintenance 2) Improves number of crimes reported to law enforcement agency
2. Operation Identification (property marking)	All interested citizens	Engrave or photograph valuables with driver's license number; place decals on windows to warn intruders	1) Provides a deterrent to stealing 2) Enables valuables to be found more easily and returned if stolen 3) Decreases value of stolen goods to the thief	1) Provides assistance after item(s) are reported stolen 2) Provides engraving instrument upon request
3. Citizens Radio Mobile Patrol	People with Class D citizen's band license	Patrol neighborhoods and report observations to law enforcement agency	Provides additional patrol personnel beyond what's possible for official law enforcement staff	Reports observations of possible criminal activity to law enforcement agency

Table 1—Continued

Services	Target Population	Activity	Benefits	Role of Law Enforcement Agency
4. Home Security Inspection	All residents	Law enforcement officer and resident inspect home, record weaknesses and recommendations on survey and discuss them	Resident takes action to decrease chances of being a victim of crime	Inspects home, fills out survey, and discusses recommendations with resident
5. Crime Prevention Advisory Committee	Any neighborhood that hasn't organized a crime prevention program	Provide advice to neighborhoods that want to begin community crime prevention programs; increase awareness of the possibility of crime in the area	Provides a systematic channel for introducing community crime prevention programs to neighborhoods	Provides support as needed to provide information to resident

Crime Watch creates a sense of responsibility for school property, an awareness of potential criminal activity, and a desire to report suspicious behavior to a law enforcement agency.

The primary challenge of Youth Crime Watch is to overcome the students' unwritten code of not informing on one's peers. Assemblies and group discussions can help change these students' attitudes. The students learn that refusing to report criminal activity hurts the victims of crime, which can include themselves, their friends, and their school.

There are many benefits of Youth Crime Watch. Peer pressure reduces criminal activity within the school and increases the desire to report crime. Youth Crime Watch participants have a sense of working together to accomplish an important goal; students feel closer to one another. Student fellowship and a lower crime rate make the school a more comfortable, harmonious place deserving school pride.

Neighborhood/Apartment Watch

This crime prevention program involves the residents of both neighborhoods and apartment complexes; implementation, maintenance, and benefits are the same for both locations. Neighborhood/Apartment Watch is usually started and maintained by community volunteers, with assistance from a law enforcement agency when needed. Unlike the Seattle, Washington, Department of Planning which helps organize and maintain community crime prevention programs, Neighborhood/Apartment Watch depends entirely on volunteers who frequently have little time to organize the neighborhood and schedule meetings. A similar problem exists with law enforcement agencies. Providing leadership for community crime prevention programs is secondary to law enforcement officers' regular responsibilities and time commitments.

The primary purpose of Neighborhood/Apartment Watch is to get citizens involved in lowering the community's chances of being a crime target. Experience shows that at least 60 percent of the residents must be involved for this program to be effective. Neighborhood/Apartment Watch fosters a heightened awareness of the crime problem and helps program participants become knowledgeable of criminal tactics. Participants gain a sense of control over their lives by knowing specific steps they can take to avoid becoming victims of crime. The most important benefit of Neighborhood/Apartment Watch is the network of people who look after one another's property during absences and remain alert to suspicious activities in their community.

Neighborhood/Apartment Watch offers many services according to the needs of the community. They are Block Watch, Operation Identification, Citizens Radio Mobile Patrol, Home Security Inspection, and Crime Prevention Advisory Committee.

Block Watch

Block Watch consists of 10 to 15 neighbors who provide mutual protection against burglary and report suspicious activities to law enforcement agencies. A large community crime prevention program may consist of two or more Block Watch subgroups. Of course, the members of Block Watch do not take the law into their own hands. However, they feel a sense of responsibility toward their neighbors and will report any suspicious activity to a law enforcement agency. Thus, a comfortable relationship develops between the Block Watch members and the law enforcement agency.

Operation Identification

Property marking is another valuable service coordinated by Neighborhood/Apartment Watch. It is organized under the title Operation Identification. The participants in this program engrave their driver's license number on their valuable items with an engraving instrument bought from a hardware store or borrowed from a law enforcement agency. Items which cannot be engraved, such as china, are photographed, and the picture is identified by the driver's license number and filed in a secure place. Participants in Operation Identification and similar programs receive decals to put in their windows, warning potential intruders that their property has been marked.

There are many benefits to marking property. The market value of stolen goods decreases substantially when they have been engraved with a driver's license number. Besides being a burglary deterrent, engraving provides a greater chance of items being found and returned.

Citizens Radio Mobile Patrol

Many crime prevention programs include a Citizens Radio Mobile Patrol. Volunteers patrol the neighborhood in their cars and report any suspicious activities directly to a law enforcement agency over their CB radios. As in Block Watch, the volunteers do not take the law into their own hands, but merely report possible criminal activity. Since law enforcement agencies have a limited number of officers patrolling at any one time, Citizens Radio Mobile Patrol groups can extend the eyes and ears of the law enforcement agency.

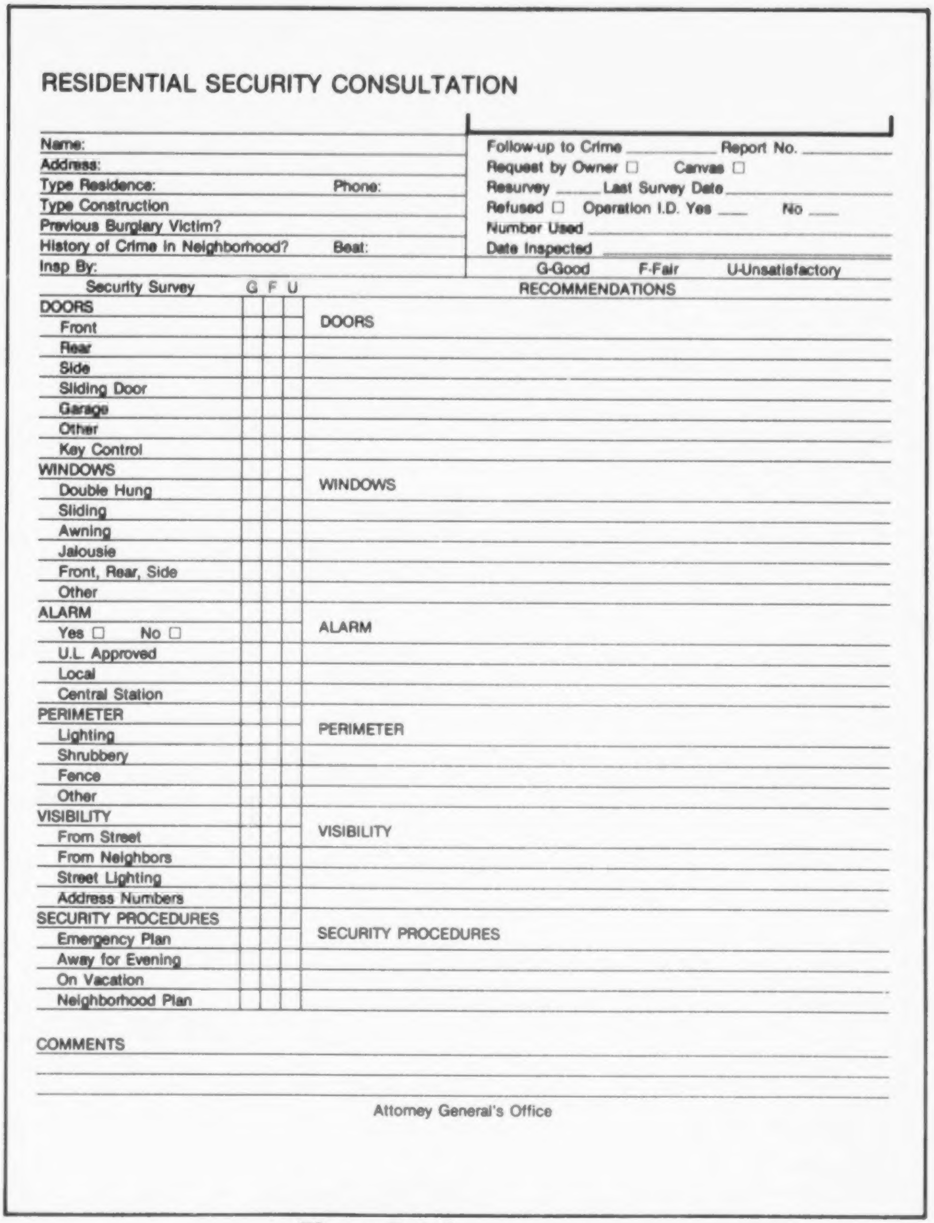
Home Security Inspection

Home Security Inspection should be provided by all crime prevention programs. A law enforcement officer or a staff member from a community crime prevention program such as Neighborhood/Apartment Watch methodically inspects the home with the resident. His/her observations are noted on a checklist like the one shown in Figure B-1-1 on the next page. The inspector records both crime prevention weaknesses observed in the home and suggestions for correcting any problems. Apartment residents who must get their landlord's approval before correcting security problems may have difficulty implementing Home Security Inspection.

Crime Prevention Advisory Committee

A crime prevention advisory committee normally includes law enforcement representatives, volunteers experienced in organizing Neighborhood/Apartment Watch, and staff members from the community crime prevention unit of the city planning department. They provide advice, materials, and presentations to neighborhoods that want to begin a community crime prevention program.

You are not limited to just these crime prevention programs. You may wish to combine the activities of some of these programs or design an entirely different program to meet the needs of your community.



RESIDENTIAL SECURITY CONSULTATION

Name:
Address:
Type Residence: Phone:
Type Construction
Previous Burglary Victim?
History of Crime in Neighborhood? Beat:
Insp By:

Follow-up to Crime ______ Report No. ______
Request by Owner ☐ Canvas ☐
Resurvey ______ Last Survey Date ______
Refused ☐ Operation I.D. Yes ____ No ____
Number Used ______
Date Inspected ______

G-Good F-Fair U-Unsatisfactory

Security Survey	G	F	U	RECOMMENDATIONS
DOORS				
Front				DOORS
Rear				
Side				
Sliding Door				
Garage				
Other				
Key Control				
WINDOWS				
Double Hung				WINDOWS
Sliding				
Awning				
Jalousie				
Front, Rear, Side				
Other				
ALARM				
Yes ☐ No ☐				ALARM
U.L. Approved				
Local				
Central Station				
PERIMETER				
Lighting				PERIMETER
Shrubbery				
Fence				
Other				
VISIBILITY				
From Street				VISIBILITY
From Neighbors				
Street Lighting				
Address Numbers				
SECURITY PROCEDURES				
Emergency Plan				SECURITY PROCEDURES
Away for Evening				
On Vacation				
Neighborhood Plan				

COMMENTS

Attorney General's Office

Figure B-1-1

Youth Crime Watch

In many ways, Youth Crime Watch is easier to begin and maintain than Neighborhood/Apartment Watch. Students already meet together on a regular basis and have formed a network of friendships. The primary obstacle to a successful youth crime watch organization is the reluctance to report one's peers. Most Youth Crime Watch activities are aimed at changing this attitude. You hurt your friends, classmates, yourself, and the school by not reporting students engaged in criminal activity. Nor does it help the criminals themselves, for they will not receive the counseling needed to overcome their criminal behavior.

The school principal is primarily responsible for initiating Youth Crime Watch, and s(he) may have a relatively easy time finding leadership among high school students. Students starting Youth Crime Watch on their own should clear it through their school principal.

Below are three steps that a principal or student leader would follow to implement Youth Crime Watch:

- Appoint three adults to a supervisory committee.

- Conduct a school assembly.

- Conduct follow-up activities.

It is important that an adult committee help with organization, follow-up, and maintenance activities. In some areas, community crime prevention programs often have the support of the city or county planning department. However, Youth Crime Watch does not have such support.

A school assembly can make students aware of criminal activity in the school and outline specific steps for correcting the problem. A law enforcement officer should also make a presentation, although in elementary schools a play would probably be more effective than a speech. If other high schools in town already have a youth crime watch program, you might ask a representative to talk about its positive effect on his/her school.

There are many follow-up activities to maintain interest after the assembly. Here are four examples:

- a poster contest
- a crime prevention suggestion box
- a bicycle registration and engraving day
- a crime prevention checklist

A poster contest is an enjoyable activity that can involve everyone. It also helps create awareness of Youth Crime Watch. Your school can place a crime prevention suggestion box in a prominent place and encourage everyone to submit crime prevention tips. Each week the best idea could receive a small prize. A bicycle registration and engraving day is also a good activity. Having a bike engraved discourages its theft and aids its recovery. Another activity is to distribute a crime prevention checklist for students and their parents to fill in. This will increase crime prevention awareness in the students' homes.

Once Youth Crime Watch is established, there are several strategies for maintaining interest in school crime prevention. At monthly meetings students track the success of Youth Crime Watch activities and discuss specific problems. Once a year, Youth Crime Watch should sponsor Crime Prevention Week and hold an assembly. Many Youth Crime Watch activities could be repeated, such as a bicycle engraving day and a poster contest.

Neighborhood/Apartment Watch

Neighborhood/Apartment Watch is a crime prevention program for cities and communities. Unlike Youth Crime Watch, the idea of starting Neighborhood/Apartment Watch can come from someone in the city government, a private citizen, or an organization such as a church or the League of Women Voters. Once Neighborhood/Apartment Watch gets started, however, it should remain independent from any organization or political cause which might lower its credibility. When asked to advise a city or county government about initiating Neighborhood/Apartment Watch, you should recommend starting in just one community and later including adjacent neighborhoods. For example, organizers in Seattle attempted to start a community crime prevention program in two neighborhoods at one time. This spread their resources too thin. Also, for the first three years communities should concentrate on just these three services of Neighborhood/Apartment Watch:

- Block Watch
- Home Security Inspection
- Operation Identification

It is important to obtain the support of the law enforcement agencies. There are several reasons for this. Working in cooperation with a law enforcement agency and having an officer make presentations at the awareness meetings raises the credibility of the community crime prevention program. Otherwise, it may be viewed as a competing organization, which could be a severe disadvantage for both organizations. Law enforcement staff available to patrol and organize communities into crime prevention groups is limited but a neighborhood watch program can help fill this gap. However, the community crime prevention program does need the help of law enforcement agencies in training their volunteers and making presentations at meetings. In addition, law enforcement agencies can take Citizens Radio Mobile Patrol volunteers on their patrols. This way, the volunteers become familiar with the neighborhood and with patrol techniques.

There are five steps for implementing this community crime prevention program:

- Target a neighborhood for the program.

- Publicize the program to make the community receptive.

- Compile information and crime statistics for the community.
- Hold a motivational meeting to present the purpose of the program.
- Hold an organizational meeting to set up three primary services of the program.

First, a neighborhood must be targeted. Second, the neighborhood must be made receptive to active participation in a crime prevention program. This can be done in a number of ways. Contact local law enforcement agencies, civic organizations, churches, and synagogues for their support. Make announcements at meetings of these organizations explaining that the community has been targeted for a crime prevention program and they will be notified when an organization meeting is scheduled. As a result, they will be less wary when you send them a letter or contact community members at their homes to see if they are interested.

While this neighborhood preparation is taking place, you can begin step three—gathering information about the community. Crime statistics during the last month should be compared to the same time period of the previous year. A law enforcement agency can help update this information each year to measure the effectiveness of the crime prevention program.

In step four, at the motivational meeting, speakers explain the purpose of a crime prevention program. One of the speakers should be a law enforcement officer to make the program more credible to community members. Also emphasize that the program is free and noncommercial. You can present crime statistics for the neighborhood and other relevant data as a rationale for forming a community crime prevention program. You should also explain the three primary services provided by this program—a block watch, property marking, and a home security inspection. The **purpose of this first meeting is primarily motivational.** It is best **not** to try to organize the people into block watch units until a later meeting.

Step five is to hold a **second meeting which organizes the three primary services of this crime prevention program.** Supply invitations and find a family to host the meeting or hold the meeting in the crime prevention program's mobile unit or in the clubhouse of an apartment complex. Organize the people present into block watch groups, have them elect a block captain, and collect their names and addresses. Also provide information on property marking and home security.

There are five steps recommended for maintaining interest in Neighborhood/Apartment Watch once it gets started. First, the city or county planning department should hire a small, full-time staff. If this isn't possible, volunteers will need to carry out maintenance activities with the support of a law enforcement agency. Second, newsletters and media coverage will provide information to keep people aware of the program. Effective, informed block captains are essential for the successful maintenance of their crime prevention program. Third, block captains should meet twice a year to gather needed information and support. The broader Neighborhood/Apartment Watch group should meet about once a year. Fourth, block captains who are no longer effective should be replaced. Fifth, repeat start-up strategies every few years to prevent interest from dying.

Summary

Effective crime prevention programs depend upon community cooperation and involvement. This section on initiating and managing community crime prevention programs has covered development, implementation, and maintenance procedures for the two main types of prevention programs—Youth Crime Watch and Neighborhood/Apartment Watch. Section 1 also covered the five basic services offered by Neighborhood/ Apartment Watch. They are Block Watch, Operation Identification, Citizens Radio Mobile Patrol, Home Security Inspection, and Crime Prevention Advisory Committee. The specific steps for implementing the two main programs have been outlined, as well as the steps for maintaining both programs. Finally, this section discussed the benefits of the two main programs and their related services as well as law enforcement's role in these crime prevention procedures.

Now complete the review questions beginning on the next page.

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Review Questions (IV: B-1)

Write your answers on a separate sheet of paper.

1. List the names of the **two** main crime prevention programs presented in this section.

2. Which of the services listed below can be provided by Neighborhood/Apartment Watch? (Choose **all** correct answers.)

   a. speaker's bureau
   b. Home Security Inspection
   c. Block Watch
   d. around-the-clock police protection while you're on vacation
   e. Operation Identification
   f. burglar alarm system
   g. Citizens Radio Mobile Patrol
   h. citizen's arrest patrol

3. Which **one** of the following normally starts Youth Crime Watch in a school?

   a. student council
   b. law enforcement officer
   c. parent
   d. principal

4. Identify in sequence the **three** steps that should be taken to start up Youth Crime Watch. Write the **three** letters on your paper in correct order.

   a. Have student officers selected.
   b. Conduct a school assembly.
   c. Appoint three people to an adult committee.
   d. Have a petition sent around the school to see how many students are interested.
   e. Conduct follow-up activities.
   f. Have a fund-raising event.

5. Which of the following activities are normally included in Youth Crime Watch? (Choose **all** correct answers.)

   a. Watch one another's residences during vacation.
   b. Engrave televisions and stereos.
   c. Engrave bicycles.
   d. Hold a poster contest.
   e. Implement a Citizens Radio Mobile Patrol.
   f. Set up a crime prevention suggestion box.
   g. Go over a crime prevention checklist.
   h. Implement a citizen's arrest patrol.

6. Which of the following might normally start Neighborhood/ Apartment Watch? (Choose **all** correct answers.)

   a. Department of Planning official
   b. private citizen
   c. law enforcement officer
   d. church or service organization

7. Which **three** of these activities should Neighborhood/Apartment Watch limit itself to during the first three years of operation?

   a. Operation Identification
   b. Citizens Radio Mobile Patrol
   c. Block Watch
   d. Home Security Inspection
   e. Crime Prevention Advisory Committee
   f. poster contest

8. Which of the following reasons explains why a crime prevention program should be supported by a law enforcement agency?

   a. The law enforcement agency may regard the crime prevention program as a competing organization if support is not gained.
   b. The crime prevention program will need help in orientation, training, and other activities.
   c. The crime prevention program will attract criminals.
   d. The law enforcement agency will run the program.

9. What is the best strategy for beginning crime prevention programs in a city or community?

   a. Establish programs in every interested neighborhood.
   b. Establish programs in one neighborhood only.
   c. Establish programs only in neighborhoods where there is a high crime rate.
   d. Establish programs only in close-knit neighborhoods.

10. What role should the law enforcement agency play in the community crime prevention program? (Choose **all** correct answers.)

    a. It starts up and maintains the program.
    b. It provides training and orientation.
    c. It provides speakers and demonstrations at public meetings.
    d. It provides funds to support the program.

11. Which of the following is a good strategy to maintain Neighborhood/Apartment Watch effectiveness?

    a. Provide Block Watch participants with training in arrest techniques.
    b. Have block captains meet about twice a year.
    c. Repeat start-up programs regularly each year.
    d. Do all of the above.

Some of the activities associated with Neighborhood/Apartment Watch and Youth Crime Watch are listed below. For questions 12-16, if an activity is associated with Neighborhood/Apartment Watch, write **N/AW** as your answer; if associated with Youth Crime Watch, write **YCW** as your answer.

12. engraving bicycles
13. engraving televisions
14. patrolling neighborhoods
15. holding poster contests
16. watching one another's homes during vacation

Check your answers with the correct ones provided in the answer key.

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Block IV: Community Relations
Unit B: Crime Prevention
Section 2: Crime Prevention Through Environmental Planning

Ask your instructor for the pretest for this section (IV: B-2). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

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Introduction

In Section 1 of this unit, you learned how organizing prevention programs in communities can reduce crime. Section 2 discusses how architectural and environmental plans can do the same. It also stresses the importance of including crime prevention measures in community planning.

Architectural and environmental planning can help reduce crime at three stages: by discouraging criminals during the contemplation of a crime; by lengthening their intrusion time; and by shortening the time it takes to capture them after they commit the crime. You will learn deterrent features which should be incorporated into individual homes and neighborhood design. You will also see how recreational facilities and outdoor lighting influence crime prevention.

This section also provides a detailed discussion of several types of doors, windows, and locks and how to protect them. Finally, Section 2 explains the use of shrubbery and burglar alarm systems to discourage crime.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the three conditions that must exist for a crime to occur.
2. Identify the potential crime condition that can be eliminated by environmental planning.
3. List the three stages at which architectural design can help prevent crime.
4. List two attributes of a residence that will discourage a potential intruder.
5. Identify the type of fence that is best for crime prevention purposes.
6. List two attributes of residential environment design that allow patrol observation.
7. Identify two ways in which an actively used neighborhood recreational facility helps prevent crime.
8. List three sources of increased costs when energy costs are lessened by reduced lighting.
9. Identify two features of exterior door design that will help prevent crime.
10. List three types of locks available for exterior doors.
11. Identify ways in which shrubbery can both encourage and discourage crime.
12. List the four types of burglar alarm systems.

As Section 1 explained, organizing people into school and community crime prevention programs raises their awareness of crime and provides specific steps which they can take to prevent crime. These steps fall into two categories. Section 1 discussed the first category, i.e., noticing suspicious behavior and reporting it to a law enforcement agency. Section 2 covers the second category which concerns physical changes one can make at home and in the community to lower crime.

As mentioned in the introduction to this unit, crime prevention is most effective when it represents the cooperative efforts of community, city, or county members. Organizations such as Neighborhood/ Apartment Watch, church groups, and the League of Women Voters can encourage local planning commissions or departments and elected officials to include crime prevention measures in their environmental planning.

Preventive planning within public agencies includes developing subdivision regulations and building codes. Just as planning the environment of a residence can discourage potential intruders, so can planning the environment of an entire community, city, or county make the entire area less vulnerable to criminal acts. An individual can install better locks or a burglar alarm system to protect his/her residence, but on a larger scale community members must work together to bring about improvements which will protect the community.

Three conditions must exist for a crime to occur: the desire, the ability, and the opportunity. Citizens interested in preventing crime can do nothing about the criminal's desire or ability to act, but they can limit opportunity by altering features of their environment.

Architectural design can reduce or eliminate crime at three different stages by:

1. discouraging the potential criminal while s(he) contemplates the act
2. increasing the intrusion time
3. increasing the potential for capturing the criminal after intrusion.

The remainder of this section will discuss planning the environment to have an effect on crime at these three points.

How Crime Can Be Discouraged During Contemplation

There are several features a residence can use to discourage the criminal when s(he) is contemplating intrusion. The most important feature is unobstructed doors and windows. Concerned neighbors, volunteers, and passing patrol officers should be able to **see the doors and windows of a residence.** Unobstructed entrances discourage a criminal from choosing that target since any attempts to enter the residence will probably be noticed and reported.

It is also important that the **people who live in the home are able to see out.** Exterior doors to houses and apartments should be installed with a 180° viewer, so that residents can see the person outside the door before it is opened.

In addition to keeping doors and windows physically unobstructed, lighting is also an important factor. If the **residence and surrounding property are well lit,** a potential criminal is not likely to choose that residence as a target.

Placing decals in windows warning that the residence is protected by Neighborhood/Apartment Watch, Operation Identification, or a burglar alarm system also discourages intruders from breaking into the residence.

Unobstructed doors and windows, a viewer installed in the exterior door, good lighting, and window decals all discourage the intruder during contemplation of criminal behavior because these measures increase his/her chances of being seen and reported.

Planning the environment of public areas can also discourage criminal activity before it occurs. As with private residences, all areas of the community should be clearly visible to patrol officers and others passing by. Thus, **homes should be widely spaced and streets should be wide. Chain link fences** are superior to privacy fences because they do not obstruct surveillance. **Lighting** is extremely important, especially in parking lots. Cities which try to save money by not improving the lighting may end up paying more for emergency services and criminal investigation because of increased crime and accidents. When a neighborhood gets a bad reputation, many residences and businesses move elsewhere. This results in an eroded tax base.

There are other ways in which the environment can be planned to discourage crime. Walkways should draw traffic away from homes, yards, and apartments. Parks and recreational facilities which draw people together have two benefits. First, when people in a neighborhood gather together and get to know one another, it is easier to organize them into community crime prevention programs. Second, the active use of a facility discourages crime in its vicinity.

These preceding paragraphs have reviewed the ways in which environmental planning can discourage criminal activity before it occurs. The ideal, of course, is to deter crime before it takes place. Since this is not always possible, the rest of this section will discuss how environment can increase the criminal's intrusion time and potential for capture.

How Crime Can Be Discouraged Through Increased Intrusion Time

Even though steps have been taken to make a residence unattractive to a burglar, it may still become a target. In the next few pages, you will learn how intrusion time can be increased to interrupt a crime before it is completed. To reduce the suspect's opportunity to enter a building, place barriers in his/her path, such as locks and bars. Security steps for a home or business are basically the same, although a business uses more hardware.

The areas that we will cover include:

- door and window systems
- locking systems and devices
- tools and methods of attack
- shrubbery.

Door and Window Systems

Let's begin with an outline of the door/window system parts:

a. the door/window
b. the hinges
c. a locking device
d. the frame--including:

    1. head and jambs
    2. wall anchorage devices
    3. a 36-inch area on each side of the jamb
    4. a 16-inch area above the head

e. miscellaneous hardware

When attempting to gain entry into a building, the burglar will usually try the door first because it is the weakest point. It is also easier to remove stolen objects through the door. If a good locking device is placed on the door and the hinges are pinned, the suspect will go next to a window. Once inside, s(he) may then be able to unlock one of the exterior doors and leave with the stolen property. Therefore, home owners and business people should improve the security of existing buildings and design protection for new facilities. When implementing security features, one must consider the following:

1. cost of the features
2. access to emergency or fire escape exits
3. use of reliable equipment
4. operation and maintenance

Door Construction

- The easiest door for a burglar to enter is a flush, **hollow core** door because the burglar can kick or punch a hole in it, reach inside, and unlock it. None of the hollow core type doors are recommended for use as security doors or exterior doors. Hollow core door construction consists of two thin outer faces, or skins, with various materials between the skins. Horizontal blocking is placed across the center for mounting the locking device.

- The only door recommended for good security, whether interior or exterior, is the **solid core** type. There are four types of solid core doors which provide good security:

1. particle board
2. continuous block staved core
3. frame block staved core
4. mineral core

Any of the above will slow down a burglar, for these doors are constructed with a solid core of material, and the skin is only for an attractive appearance. A solid core door also offers the **best** base for applying all hardware such as hinges, locks, closers, bolts, etc. Figure B-2-1 illustrates hollow core and solid core door construction.

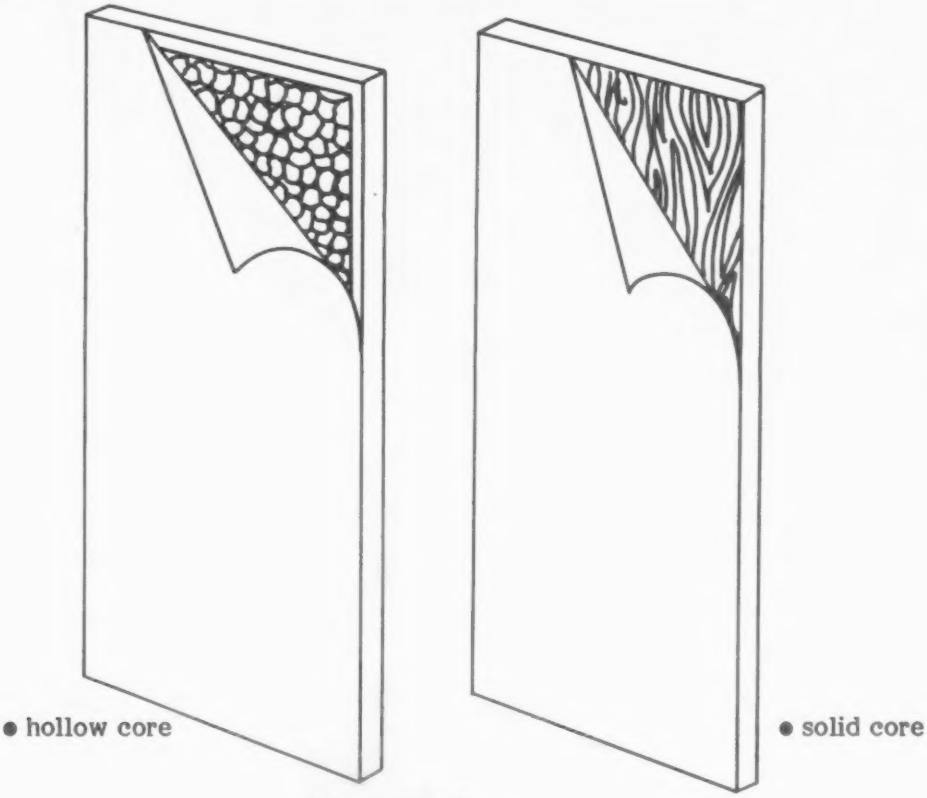

Figure B-2-1
Door Construction

Tools and Methods of Attack

Burglars can enter a building or home in many ways. Their tools can be homemade or bought and converted to fit their needs. Ten methods and tools a burglar might use to enter a building follow with illustrations.

Lock Puller Method

- cylinder lock puller
- welding pliers
- tube-holding pliers
- Ferrier's pliers

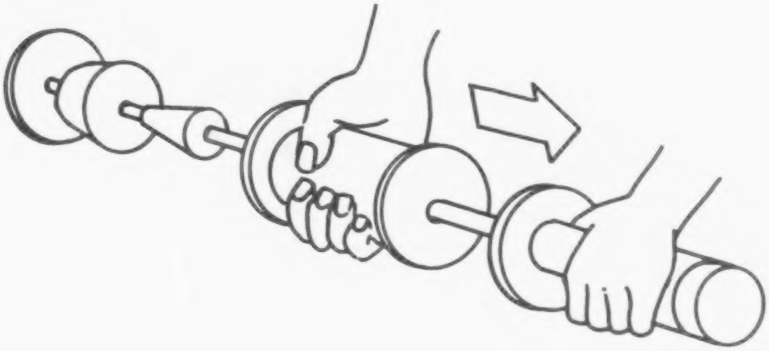

Figure B-2-2
Lock Puller Method

Hammer Method

- ball peen hammer
- pipe
- nail puller
- sledge hammer

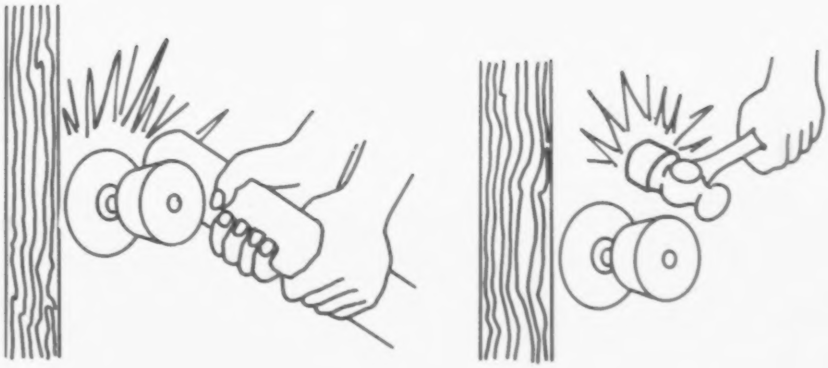

Figure B-2-3
Hammer Methods

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Jimmy Method

- screw driver
- crow bar
- axe

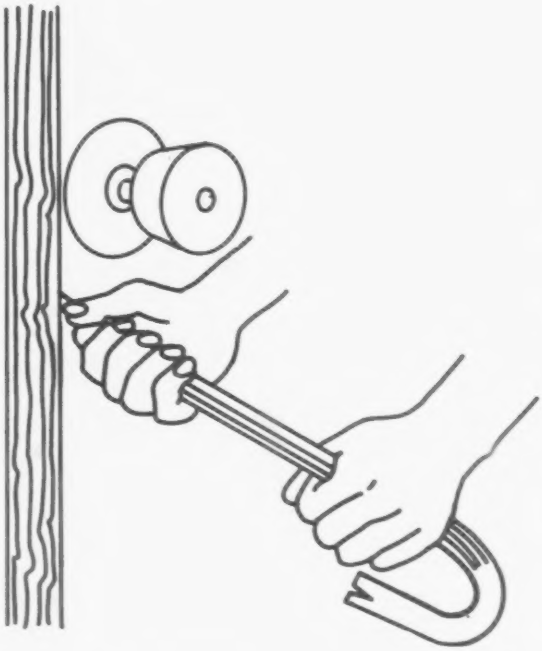

Figure B-2-4
Jimmy Method

Wrench Method

- channel lock pliers
- pipe wrench
- chain wrench

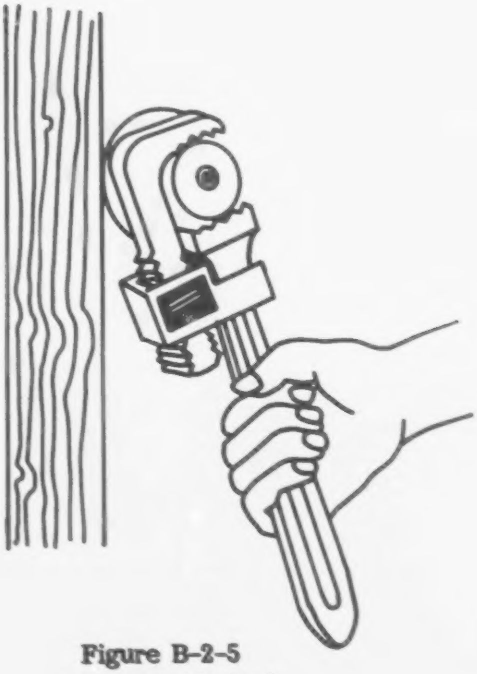

Figure B-2-5
Wrench Method

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Door Frame Spreader Method

- hydraulic jack
- bridge jacks
- hydraulic hand pump

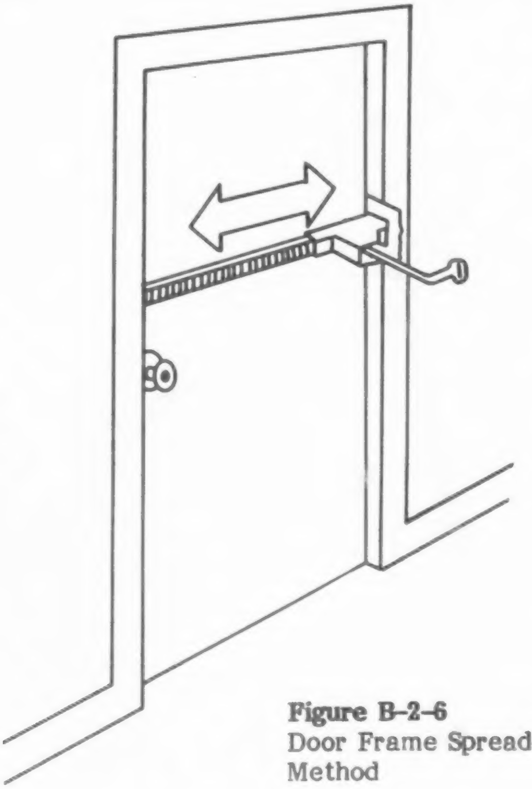

Figure B-2-6
Door Frame Spreader Method

Sawing Method

- hacksaw
- power circular or sabre saw
- coping saw
- keyhole saw

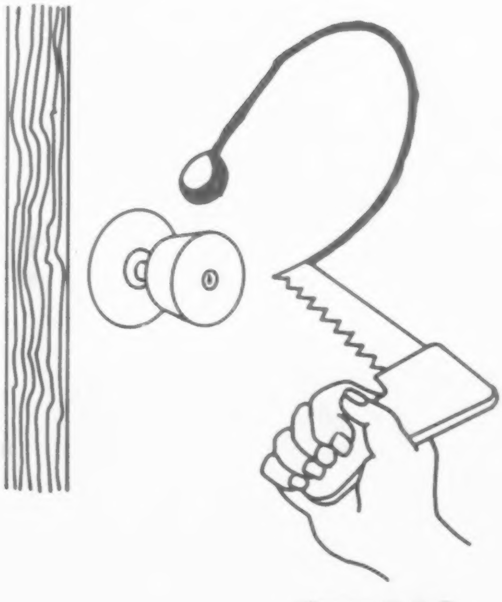

Figure B-2-7
Sawing Method

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Drilling Method

- hand drill
- power drill

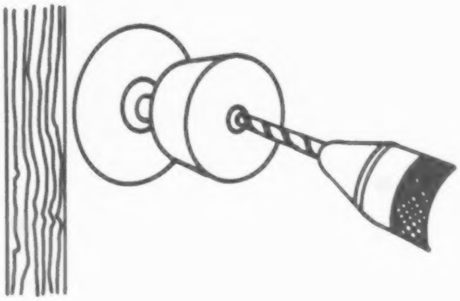

Figure B-2-8
Drilling Method

Lock Method

- screwdriver
- puller slide hammer
- picking
- hacksaw
- bolt cutters
- piece of plastic or shim

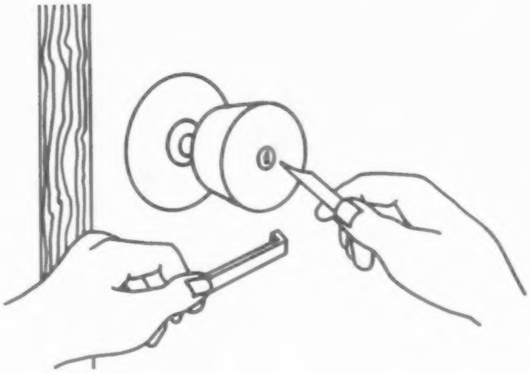

Figure B-2-9
Lock Method—Picking

Door Frame Method

- prybar
- hammer
- combine kicking or shoulder attack with prying

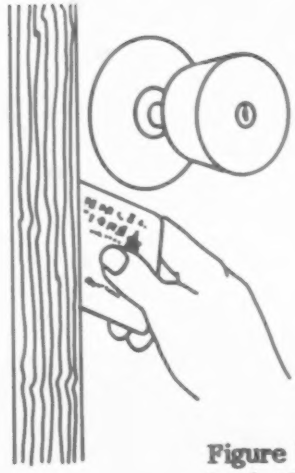

Figure B-2-10
Lock Method—Plastic Card or Shim

Hinge Tampering Method

- removing pins

Locking Systems and Devices

For maximum security, a locking system must be used to secure the door. Remember, a good lock on one side of the door will slow the burglar down, but unprotected door hinges may still allow entry. Exterior door security begins with an appropriate **solid core door** hung with **hinges protected** from tampering.

Now let's consider keys and the locks they control. The most important aspect of home or business security is **good key control.** Know who has your keys and don't leave them outside your door as a convenience for others. Even burglars know to look under door mats, flower pots, and in mail boxes.

For key control in a business, develop a system in which very few people possess the total access master key. Give section keys to group leaders or supervisors for specific areas. Finally, issue the other employees keys that only give access to their assigned areas. This cuts down on the criminal's opportunity to obtain a key from an employee. Good key control can lessen the opportunities for a burglar to break into a business.

Many types of locks and locking devices can be used to upgrade the security of an exterior door. Keep in mind that the main objective of any security system is to **deter**, **deny**, and **resist** entry into a building. It is virtually impossible to make a home or business completely secure. A burglar, given enough time, can make almost any security system useless.

On the other hand, a well-built and properly installed lock may withstand the burglar's attempts long enough to discourage him/her from entering the building. The three most common types of door locks are: (1) key-in-the-knob lock, (2) deadbolt, and (3) single cylinder rim lock (surface lock).

1. The **key-in-the-knob lock** is the most common. It is used primarily in residential homes. Since the locking device is part of the door knob and gives only minimum security, the keying mechanism is vulnerable to picking, prying, and stripping.

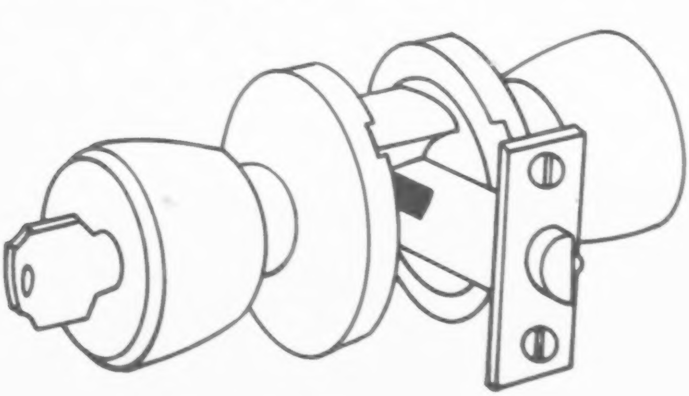

Figure B-2-11
Key-in-the-knob Lock

2. The **deadbolt**, used along with the key-in-the-knob lock, provides additional security for your home or business. A two-sided key lock is recommended if the locking device is near a window. If not, a thumb turn on the inside is sufficient.

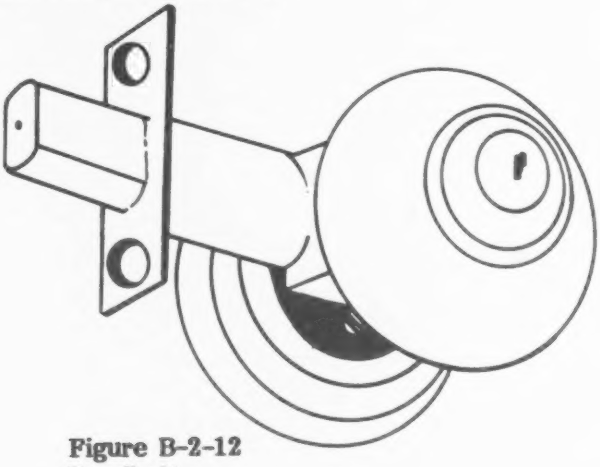

Figure B-2-12
Deadbolt

With a key lock on both sides, the interior key should be kept approximately five feet away from the door in a location known to everyone in the home. In case of an emergency, such as a fire, the key must be readily available so occupants can leave the house quickly. The lock should have a grip-resistant contour on the outside and reinforced cylinder guards.

3. The single cylinder **rim lock** (surface lock) is mounted inside on the door. This type of rim lock has a deadbolt which interlocks with a plate mounted on the door jamb. It can be operated by a key or thumb turn. It also can have an outside device. The double cylinder rim lock will be described later.

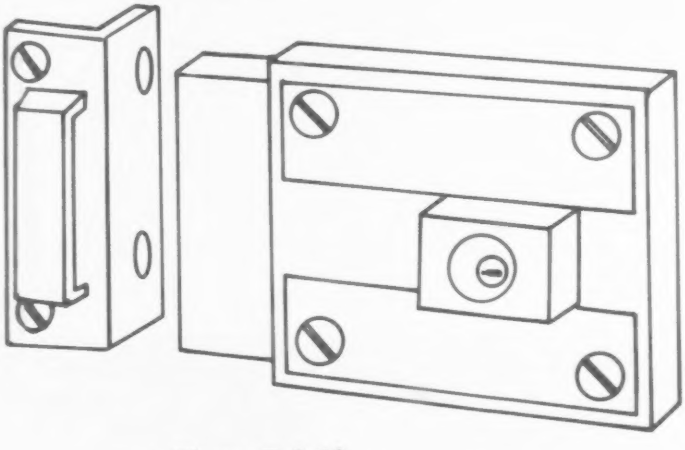

Figure B-2-13
Single Cylinder Rim Lock (Surface Lock)

Some other types of locking devices are **locking bars**, **door alarms**, **combination locks**, **electric locks**, and **push-button locks**. The choice depends on what the owner wants to use in a home or business and how much money s(he) wants to spend. 476

Note: A **chain lock** allows the door to be opened slightly but still remain locked. This type of lock is very flimsy and can be opened with a sharp blow to the lock area.

Now we will examine these numerous locking devices and their vulnerability in further detail.

The **spring latch** gives very poor security because of the spring latch. The spring latch is used in a key-in-the-knob lock. The most common way for a burglar to bypass this lock is to use an item like a credit card. Because the spring and leading edge are tapered, pressure applied to the leading edge of the latch forces it back and unlocks the latch. This is called slipping or loading the latch back.

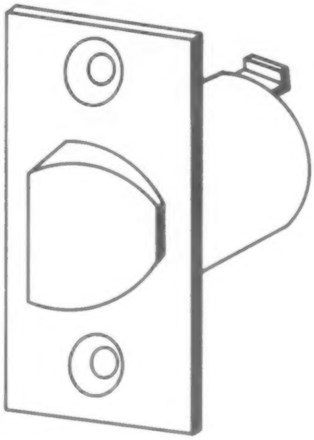

Figure B-2-14
Spring Latch

The **spring latch with anti-shim device attached** is the same as that of the spring latch with the exception that an anti-shim device or plunger is attached to it. This keeps the spring latch from being pushed back with a piece of plastic or shim device. This type of lock affords the homeowner a higher degree of security.

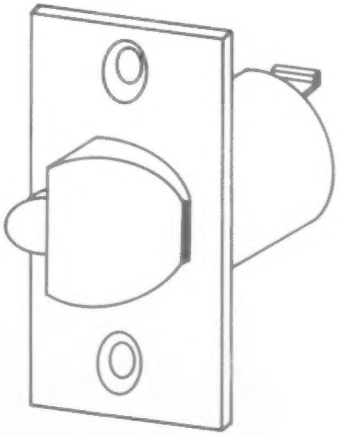

Figure B-2-15
Spring Latch with Anti-Shim Device

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The **strike plate** is very common and appears on most door frames you see. It is usually used with a spring latch lock, leaving the lock very vulnerable to attack.

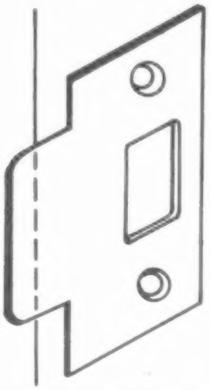

Figure B-2-16
Strike Plate

The **guarded strike plate** is a metal plate installed over the outer edge of the door. It protects the spring latch from being tripped by a strip of plastic or metal.

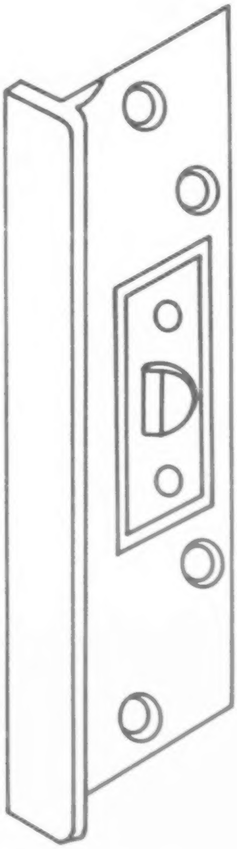

Figure B-2-17
Guarded Strike Plate

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The **keyless deadbolt** is used when outside entry is not needed.

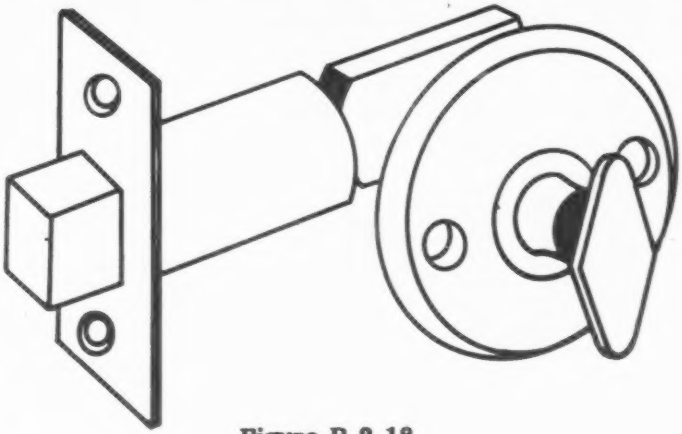

Figure B-2-18
Keyless Deadbolt

The **single cylinder deadbolt with a thumb turn** has a one-inch bolt. This type of lock can be used on a solid door when there is no glass in or near the door.

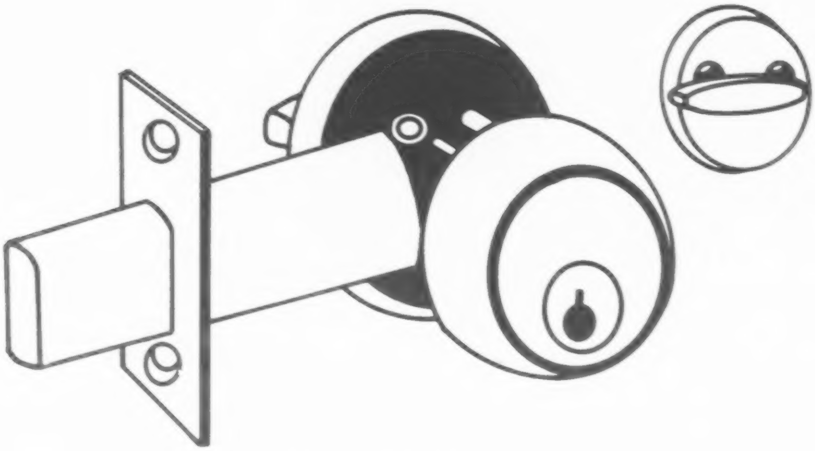

Figure B-2-19
Single Cylinder Deadbolt with a Thumb Turn

The **double cylinder deadbolt** is the same as the single cylinder except that it requires a key to unlock it from the inside as well as the outside. Using this lock on all exterior doors forces a burglar to go out the same way s(he) came in—through a window or vent. This lock also reduces the amount or size of the objects a burglar can take.

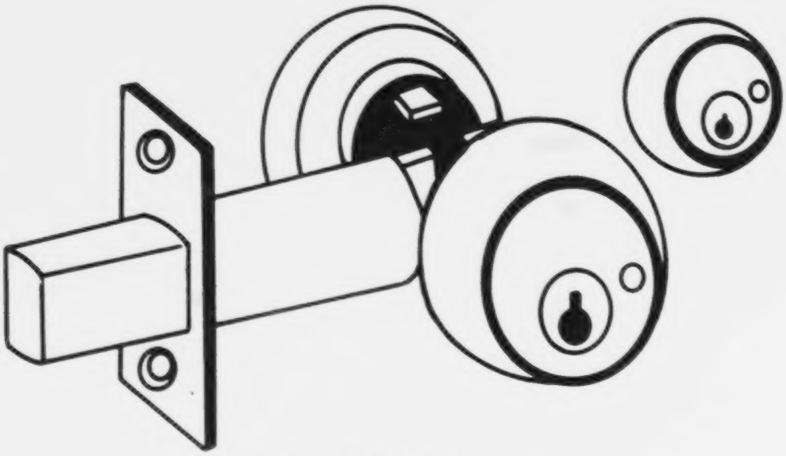

Figure B-2-20
Double Cylinder Deadbolt

The **deadbolt with a one-inch locking bolt and cylinder guard plate** is an excellent security device. The one-inch bolt can be locked in place. It also has hardened steel pins set into the bolt so that sawing or cutting the bolt is impossible. For added security, a cylinder guard plate is placed over the locking cylinder on the outside of the door and then bolted through the door for double security.

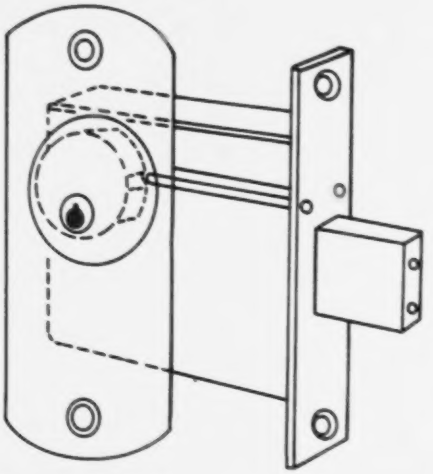

Figure B-2-21
Deadbolt with a One-inch Locking Bolt and a Cylinder Guard Plate

Security Lock or Rim Lock

This lock should be used when there are windows near the lock. This lock, if installed properly, gives excellent protection against entry from prying open the door. Once the deadbolt is inserted and locked into the keeper, prying the lock is almost impossible. However, if this type of lock is mounted poorly on the door frame, it can be dislodged with a sharp blow to the outside of the door. Make sure it is securely fastened to the door frame.

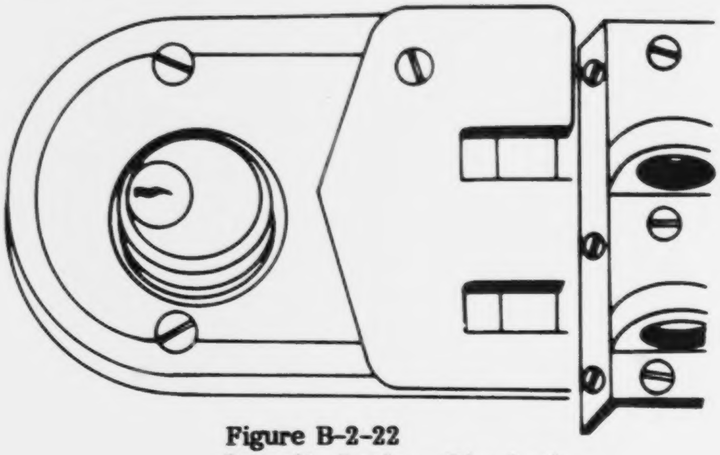

Figure B-2-22
Security Lock or Rim Lock

One type of **pivot deadbolt** is recommended for **swinging** (or narrow) **doors.** This deadbolt system is retained within the frame of the door. The bolt pivots up from the bottom to the locked position. The bolt must extend one inch or more into the other door to keep the door from being opened when the frame is spread apart.

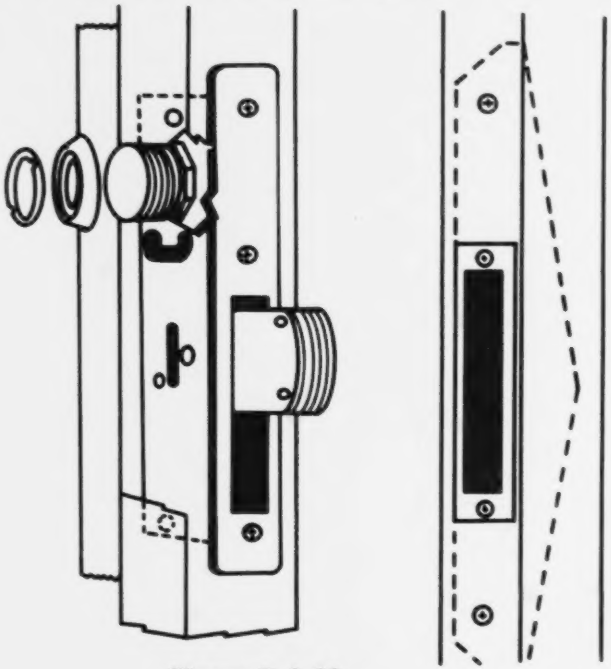

Figure B-2-23
Pivot Deadbolt for Swinging Doors

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Another **pivot deadbolt** is used for **sliding doors.** This type of pivot deadbolt has a large notch cut into the bolt allowing the lock to be interlocked with the strike plate or keeper when the bolt is put in the locked position. This type of lock is used by malls or businesses to secure their large sliding glass doors. A smaller version is used on glass sliding doors in residences. Also, add two screws to the upper track of the door which extend out far enough to allow the door to open and close freely but prevent it from being lifted out of the track.

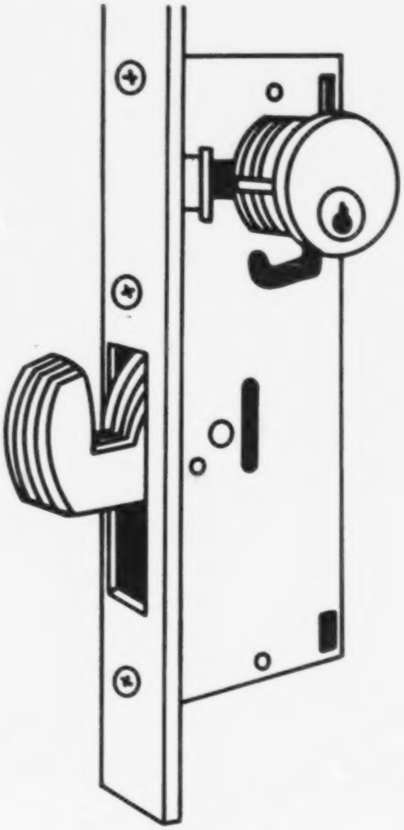

Figure B-2-24
Pivot Deadbolt for Sliding Doors

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The **deadbolt with extension bolt** appears to be a good locking device, but, because of the hollow bolt, it can be easily pried or cut.

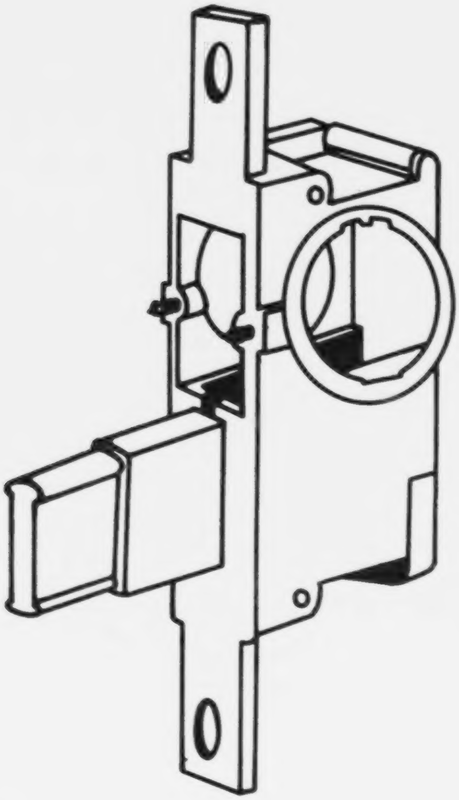

Figure B-2-25
Deadbolt Lock with Extension Bolt

The **sliding glass door surface deadlock** is placed on the inside of the sliding glass door. When it is closed, a key activates the bolt into the slot. It is an efficient locking device for this type of door.

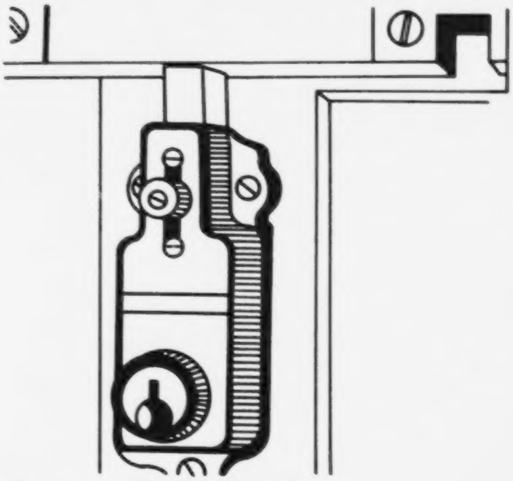

Figure B-2-26
Sliding Glass Door Surface Deadlock

The **metal pin** can be used on any sliding door. The pin can be homemade, such as a nail, or a store-bought kit. It prevents the doors from sliding past each other.

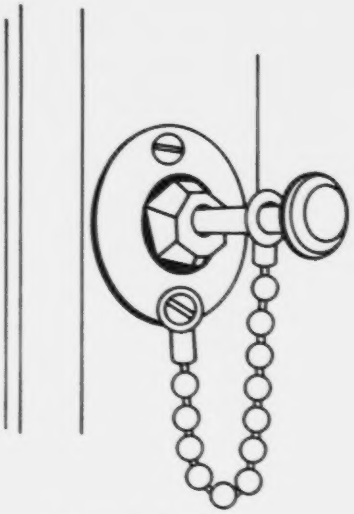

Figure B-2-27
Metal Pin

A **charley bar** prevents a sliding door from opening once the bar is in place. It is attached to the inside door frame and swings up out of the way when not in use. It is recommended for securing all sliding doors and should be used with a good locking device on the door.

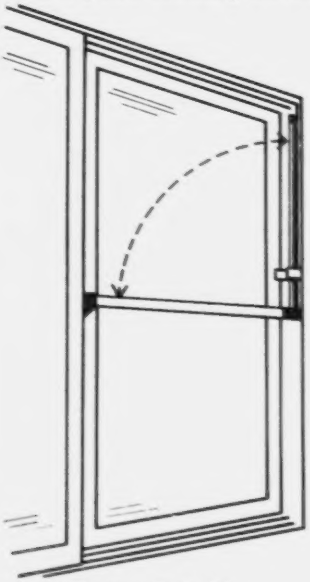

Figure B-2-28
Charley Bar

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Three of the many types of **window locks** on the market are shown in Figure B-2-29. When using a window lock, you should install one which can be locked with a key. If the lock does not need a key, a burglar could easily break the glass to unlock the window. A pin hole lock allows the window to be opened for ventilation but still keeps the window locked.

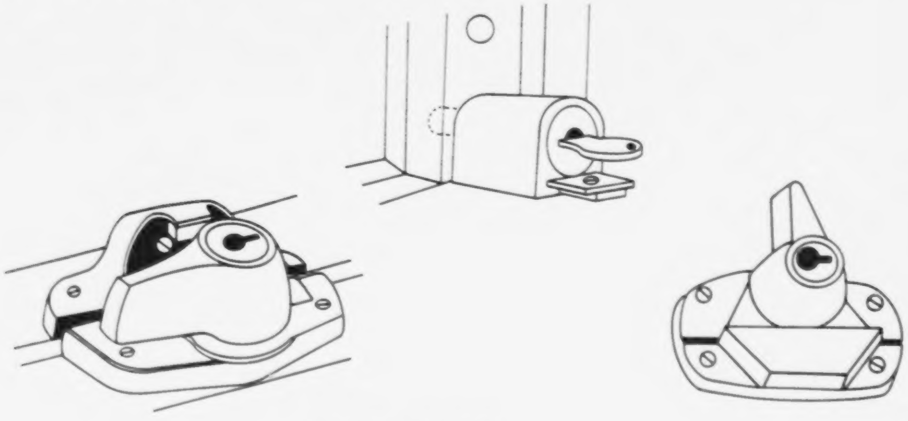

Figure B-2-29
Window Locks

The **padlock and hasp** should be made of case hardened steel. The padlock should have a toe and heel that both lock in place with a minimum fine pin tumbler for locking. If the bottom of the padlock has a key number on it, remove the number and record it some place else to keep unauthorized people from having keys made. The hasp should be as strong as the lock with no screws or bolts visible.

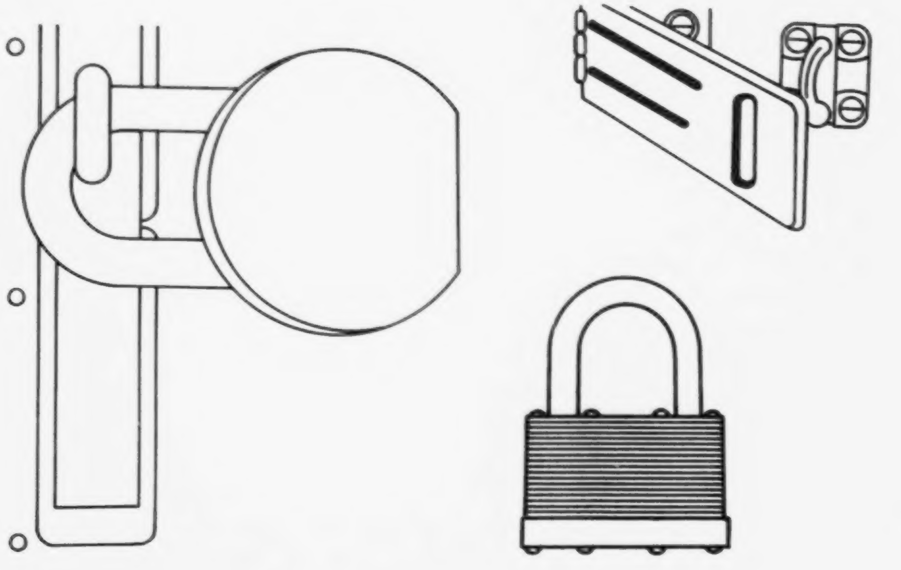

Figure B-2-30
Padlock and Hasp

Electric locks are basically used for cash rooms, police stations, jails, and areas where the public is restricted. They are operated by a release system powered by a transformer and a release button. The person controlling the button should be able to see the door and the person seeking entry.

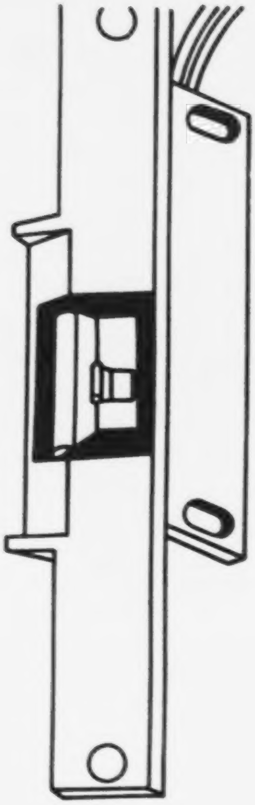

Figure B-2-31
Electric Locks

A **one-way screw** is recommended when attaching any security device to an external area. Once the screw is in place, it is very difficult to remove because the screw head only allows the screw to be turned **in.**

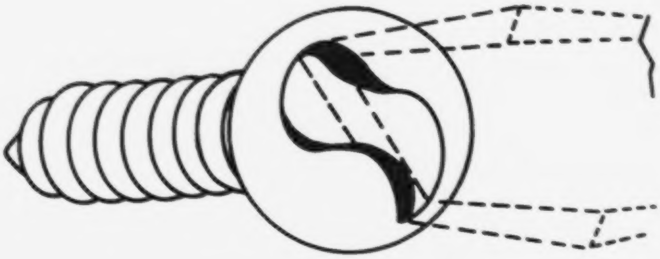

Figure B-2-32
One-Way Screw

Shrubbery

So far we have covered numerous mechanical means of increasing intrusion time. The deterrents discussed in this section are natural ones: plants and shrubbery.

Plants can beautify your home or office, but placing the wrong type of plant in a window or door area can also give the burglar a hiding place. The homeowner should use low hedges or bushes around windows and doorway areas so movement can be seen by police or neighbors. Sticker or thorn plants can also keep a burglar away from the window areas. In this way, landscaping can help cut down the burglar's opportunity to complete the crime.

How to Increase The Potential For Capture After An Intrusion

The primary means of increasing the potential for capture after intrusion is through burglar alarm systems. Make sure the alarm system you buy is approved by Underwriters Laboratories. The four basic types of alarm are:

- magnetic contact—windows and doors, tape or conduction
- motion detector—sends out sound waves
- pressure mat—sounds when touched, moved, or stepped on
- screen—sounds when touched or moved.

These alarms can be connected to a bell, siren and/or light system to scare off the burglar. Alarm companies will also install systems that sound not only at the residence or business but also at a central office to alert police to a possible intrusion. Also, it is a good idea to add a smoke detector to the alarm system for fire protection.

A good deterrent is to advertise the presence of the alarm. Place decals on doors and windows advising that an alarm system is being used. This in itself will make the burglar hesitate before trying to gain entry.

Summary

You have just completed Section 2 dealing with decreasing crime by planning the physical environment. It discussed the three stages of crime in which environmental planning can act as a deterrent:

- providing discouragement during contemplation of the crime
- increasing the intrusion time
- increasing the potential for capture after intrusion

In Unit B, Crime Prevention, you were presented with the two primary ways of preventing crime. The first (Section 1) is to raise community awareness of crime and help organize school and community crime prevention programs. The second means of preventing crime (Section 2) is by planning the environment of both individual residences and entire communities.

Now complete the review questions beginning on the next page.

Review Questions (IV: B-2)

Write your answers on a separate sheet of paper.

1. List the **three** conditions that must exist in order for a crime to occur.
2. Which of the **three** conditions listed above can be eliminated by planning the physical environment?
3. Write the **three** stages at which the physical environment can help reduce crime.
4. List **two** attributes of a house that will discourage an intruder from trying to break in.
5. For crime prevention purposes, with what should you enclose your yard? Why?

   a. a wooden privacy fence
   b. a chain link fence
   c. a hedge
   d. nothing

6. List **two** features that community planners should include in designing a neighborhood which will allow observation by officers on patrol.
7. List **two** ways in which an actively used neighborhood recreational facility helps prevent crime.
8. Reduction of city lighting has the following negative economic effects: (Choose **all** correct answers.)

   a. higher criminal investigation costs
   b. higher emergency services costs
   c. erosion of tax base
   d. none of the above

9. List **two** features of exterior door design that will help prevent crime.
10. Write **one** advantage and **one** disadvantage for a key-in-the-knob lock.
11. Write **one** advantage and **one** disadvantage for a deadbolt lock.
12. Write **one** advantage and **one** disadvantage for a rim or surface lock.
13. Write **one** way in which plants or shrubbery can encourage crime.

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14. Write **one** way in which plants or shrubbery can discourage crime.

15. List the **four** types of burglar alarm.

Check your answers with the correct ones provided in the answer key.

Student Guide

CRIMINAL JUSTICE SYSTEMS

Block V: **Proficiency Skills**
Block VI: **Criminalistics**

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PROFICIENCY SKILLS

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Block V: Proficiency Skills
Unit A: Physical Fitness

Ask your instructor for the pretest for this unit (V: A). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

Introduction

All criminal justice occupations require physical fitness and strength. You must have not only the physical ability to save yourself but also to save another. Rescue tactics are an important aspect of public service whether the rescue situation involves violent persons, or natural or man-made disasters. The best training in combative or rescue techniques will be useless if you are not physically capable. You must have confidence in your physical ability to cope with the difficult situations which often face criminal justice personnel.

This unit will introduce the type of fitness program you must participate in throughout a career in public service.

Objectives

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Identify the reasons why physical fitness is a requirement of criminal justice occupations.
2. Identify the reasons why professional and self-evaluations of your health are important in preparing for a criminal justice career.
3. Identify the five basic routines of the beginning exercise program and the exercises and standards for each.
4. Identify the ten secondary exercise routines.
5. Describe the jogging and the running routines.

Performance Objectives

Demonstrate physical fitness by completing all of the items listed below.

1. Before beginning the exercise routine, complete:
   - the Cureton's Breath-Holding Test
   - the Kasch Pulse Recovery Test in 3 minutes or less with an average or above pulse rate
   - the Cooper's 12-Minute Walk/Run Test by completing at least 1 mile in 12 minutes.
2. Following the directions given for beginning exercise routines, meet the standard for each of the following routines:
   - to develop balance—Maintain position for 20 seconds without shifting feet or opening eyes.
   - to develop flexibility
     in trunk flexion—From indicated position, touch floor with fingertips 20 times.
     in trunk extension—From indicated position, raise chin until 18 inches off floor; repeat 5 times.
   - to develop agility—Complete 4 or more squat thrust routines in 8 seconds or less.

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- to develop strength—Perform at least
  4 pull-ups
  15 push-ups
  25 sit-ups.
- to develop power—Perform
  1 standing broad jump equal to your height
  1 vertical jump of 18 inches or more.

3. Following directions, perform each of the secondary exercise routines without undue breathlessness or fatigue:

   - warm-up accomplished through light exercises
   - stretching and deep breathing routine performed 4 to 6 times
   - neck-rolling routine repeated twice
   - arm-circles routine repeated 2 to 4 times
   - half-knee bends routine repeated 10 to 20 times
   - knee-pull to chest routine repeated 10 to 12 times
   - trunk bends—hands to ground routine repeated 4 to 6 times
   - windmill routine repeated 10 to 12 times
   - abdominal stretches routine repeated 10 to 20 times
   - jumping jacks routine repeated 10 to 20 times

4. Meet the following standards for jogging and running:

   - Jog 1 mile in 10 minutes by the end of first grading period.

   - Run 1 mile in 8 minutes or less by the mid-term.

   - Run 3 miles in 30 minutes or less by the end of the year.

The energy demands of many criminal justice occupations can easily surpass the body's capacity if the muscles, lungs, heart, and blood vessels are not well-conditioned. Emergency situations are the rule rather than the exception in criminal justice occupations, and can place great strains on the cardiovascular and respiratory systems. There is rarely time to warm up or adjust gradually to a situation. Emergency situations require extended physical exertion, so **endurance** is a necessity. A typical situation might require running at maximum speed before you even begin to meet the physical demands of the situation. The officer may have to race up flights of stairs to assist someone in distress, pursue fleeing criminals and vault fences, rescue people who are drowning, or grapple with troublesome, mentally disturbed people. Whether facing a rescue, apprehension, escape, or a prolonged riot, an officer must have a high degree of strength, agility, coordination, and endurance. In addition, an officer in poor physical condition is more accident-prone.

Extended physical activity requires endurance, and this is directly dependent on a sound cardiovascular and respiratory system. Therefore, endurance is the first goal of total physical fitness for many criminal justice occupations and one which must also be maintained throughout the career.

Preprogram Evaluation

Selecting your career field is a serious matter, and it should not be done without a careful consideration of your mental, emotional, and physical abilities. This is especially true if you have selected a criminal justice occupation as your goal. This unit will discuss the physical requirements of criminal justice occupations.

Medical Evaluation

Before you spend a great deal of time and energy in studying for a career in criminal justice, you should see your doctor for a complete physical examination. The initial expense of such an evaluation is small compared with the time and energy that could be lost if you find that you have a medical condition which could force you to change your career field. Advise your doctor that you are planning a career in criminal justice, and that the physical requirements are greater than those required of professional athletes. The professional athlete always has time to warm up and prepare for physical exertion; criminal justice personnel do **not**. The medical evaluations which have been designed for maximum stress occupations are different from those used in a routine examination for general health. The doctor will determine the testing procedure, but you should prepare to do the following:

a. Provide a complete history of any known risk factors such as family heart disease; biological characteristics; personal habits; known symptoms of pains, headaches, dizziness, fainting spells, irregular heartbeat, etc.

b. Arrange to take an exercise electrocardiogram (stress ECG). This is usually preceded by an ECG at rest, but passing this alone is **not** sufficient for entering most careers in criminal justice. The stress test monitors your heart while you are engaging in vigorous exercise, and it may turn up heart rates which could raise serious questions about your planned career field. It is best to discuss any problems early so that an alternate decision can be made or so that you can begin a treatment program to correct any limiting problem.

Self-Evaluation

Self-evaluation as part of your preprogram evaluation requires that you assess your own ability and willingness to continue a physical conditioning program for the rest of your career. Self-evaluation is done in addition to, not instead of, medical evaluation. Don't fool yourself; you already **know** if you have sufficient self-initiative to continue working toward a goal, even if it becomes a bore or an unpleasant chore. Would you give up a difficult program because you would rather do something easier or because no one is demanding or motivating you to work out? For example, if you are promoted or assigned to a desk job and discontinue or relax your physical fitness program, you may find that you are soft and out of condition when you are required to perform in a physical capacity in an emergency situation.

Self-Tests

Assuming that you have passed the medical evaluation and your self-evaluation has reinforced your determination to pursue a career in a criminal justice occupation, there are still some questions that you should answer for yourself, such as:

- Am I in good condition compared to others?
- Are there any standards with which I should compare myself?

The Federal Bureau of Investigation, in a publication entitled Physical Fitness for Law Enforcement Officers, recommends the following standards for evaluating your cardiovascular and musculoskeletal fitness:

a. **Cureton's Breath-Holding Test**

Purpose:	To test your respiratory capacity which is related to circulatory fitness.
Equipment:	Chair, bench, or stool approximately 17 inches high.
Procedure:	Step onto and off of a chair, bench, or stool for a period of one minute. Then see how long you can hold your breath.

Results: You should be able to hold your breath for at least 30 seconds. If you can't, it is an indication that your cardiovascular function has deteriorated below a desirable level.

b. **Kasch Pulse Recovery Test** (3 minutes)

Purpose: To check the effect of physical activity on pulse rate.

Preparation: **NOTE:** This test can be performed by either sex and almost any age group. Only infirm persons or the extremely unfit would find it too strenuous.

Before taking the test:

- Do not eat for 2 hours.
- Do not smoke for 1 hour.
- Rest for 5 minutes.

Equipment: Clock or watch with sweep hand; 12-inch bench or stool.

Procedure:

a. Start stepping onto and off the bench when the sweep second hand is at 11.

b. Step 24 times per minute, for a total of 72.

c. Duration time is 3 minutes.

d. Stop stepping when the sweep second hand is again at 11 after 3 revolutions, and sit down.

e. Start counting the pulse rate when the sweep second hand reaches 12 on the clock. Using either the carotid artery or the inside of the wrist, count beats for every 10 seconds and record them for a total of 1 minute.

Results: Total the 6 pulse counts for 1 minute and compare with the following scale:

Classification	0-1 Minute Pulse Rate
Excellent	71 - 78
Very Good	79 - 83
Average	84 - 99
Below Average	100 - 107
Poor	108 - 118

c. **Cooper's 12-Minute Walk/Run Test**

Purpose:	To test physical fitness.
Preparation:	**NOTE:** Persons over 30 years of age should not take this test until they have had a complete medical examination.
Equipment:	A watch for checking time.
Procedure:	Find a place where you can walk or run a measured distance of up to 2 miles. See how much of the 2 miles you can comfortably cover in 12 minutes. Try to run the entire time at a pace you can maintain without excessive strain. If your breath becomes short, walk until it returns to normal, then run again. Keep going for a full 12 minutes, then check your performance on the scale below.
Results:	Distance (in miles) covered in 12 minutes.

Fitness Age Category	**Under 30**	**30 to 39**	**40 to 49**
	(Mileage)	(Mileage)	(Mileage)
Very Poor	0.00 - 0.99	0.00 - 0.94	0.00 - 0.84
Poor	1.00 - 1.24	0.95 - 1.14	0.85 - 1.04
Fair	1.25 - 1.49	1.15 - 1.39	1.05 - 1.29
Good	1.50 - 1.74	1.40 - 1.64	1.30 - 1.54
Excellent	1.75 - +	1.65 - +	1.55 - +

Exercise Routine

If you have passed the medical stress test and have met the standards for the three tests recommended by the FBI, you are ready to begin the exercise routines. The routines are presented in three progressive stages: a beginning exercise routine, a secondary exercise routine, and jogging and running.

Beginning Exercise Routine

This beginning exercise routine is to develop balance, flexibility, agility, strength, and power. The **basic routine** should be continued until you can comply with the standards given for each exercise.

1. **To develop balance:**

   Stand on toes, heels together, eyes closed, arms stretched forward at shoulder level. Maintain this position for 20 seconds without shifting your feet or opening your eyes. (See Figure A-1)

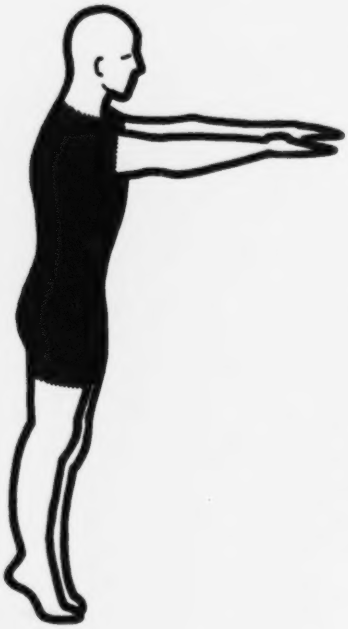
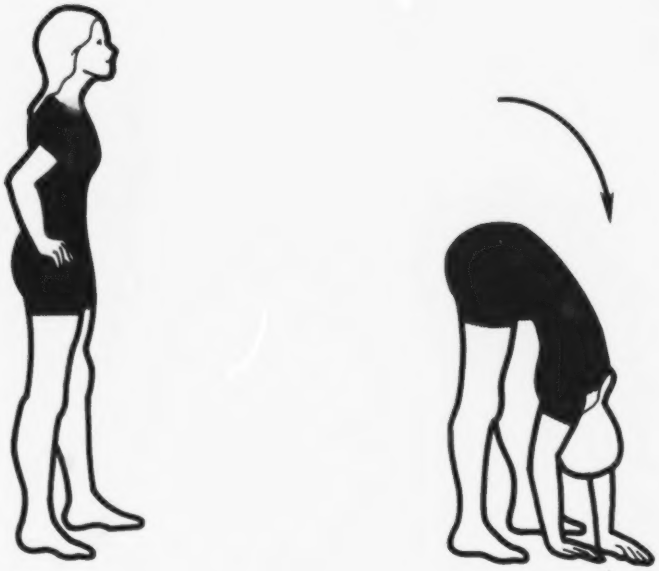


Figure A-1
Exercise for Balance

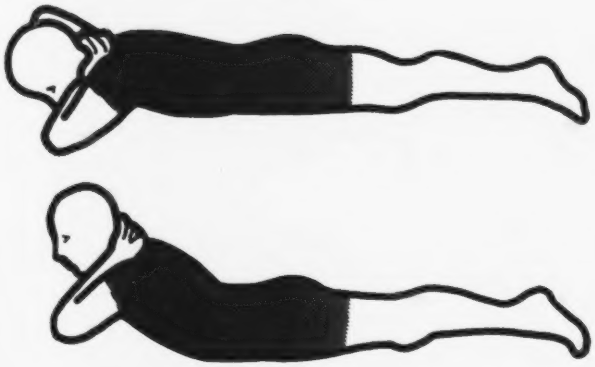
2. **To develop flexibility:**

Trunk Flexion
Keep legs together, knees locked, bend at waist, touch floor with fingertips. Repeat 20 times.

Trunk Extension
Lie flat on stomach, face down, fingers laced behind neck, feet anchored to floor. Now raise chin until it is 18 inches off floor. Repeat 5 times. (See Figure A-2)



Trunk Flexion



Trunk Extension

Figure A-2
Exercise for Flexibility

3. **To develop agility:**

Squat Thrusts
From standing, drop to squatting position, palms flat on floor, arms straight. Kick backward so that legs are fully extended. Return to squatting position. Stand up. This should be done in 4 to 8 seconds. (See Figure A-3)

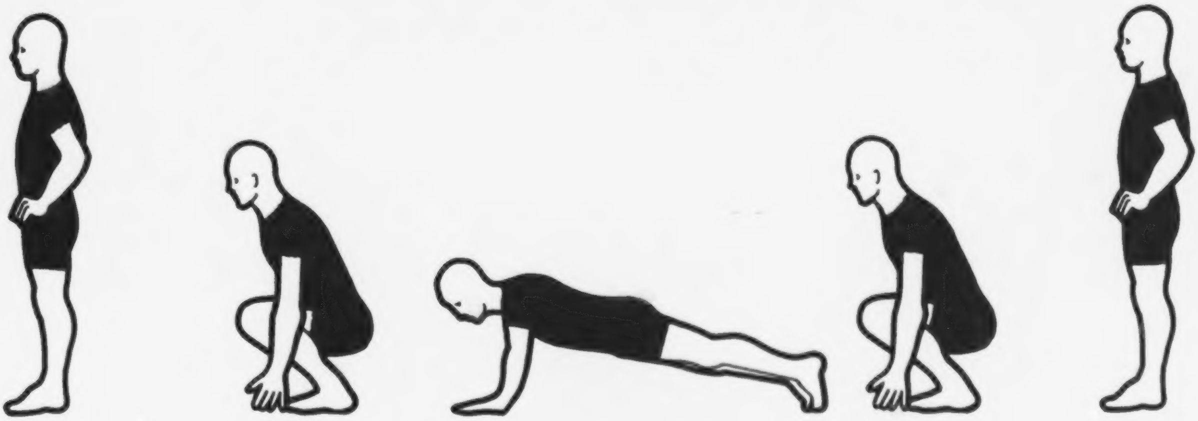


Figure A-3
Exercise for Agility

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4. To develop strength:

Pull-Ups

Hang from bar, hands slightly wider than shoulders, palms turned away, arms fully extended. Pull up until your chin is over the bar. Lower yourself until arms are fully extended. You should be able to perform 4 pull-ups. (See Figure A-4)

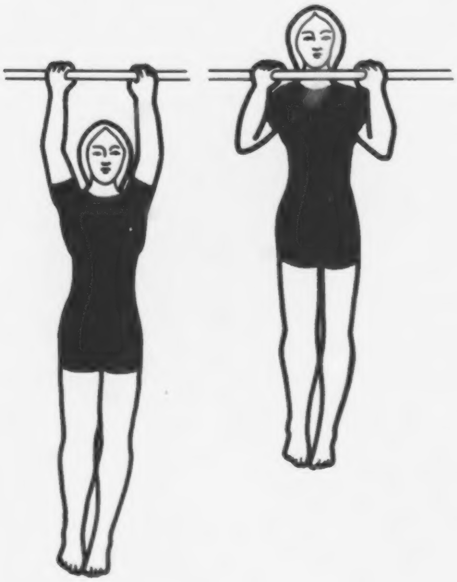

Figure A-4
Exercise for Strength—Pull-Ups

Push-Ups

From the front-leaning rest position, hands slightly wider than shoulders with fingers pointed straight ahead, lower body until chest barely touches floor. Push up, keeping body straight. You should be able to do 15 push-ups. (See Figure A-5)

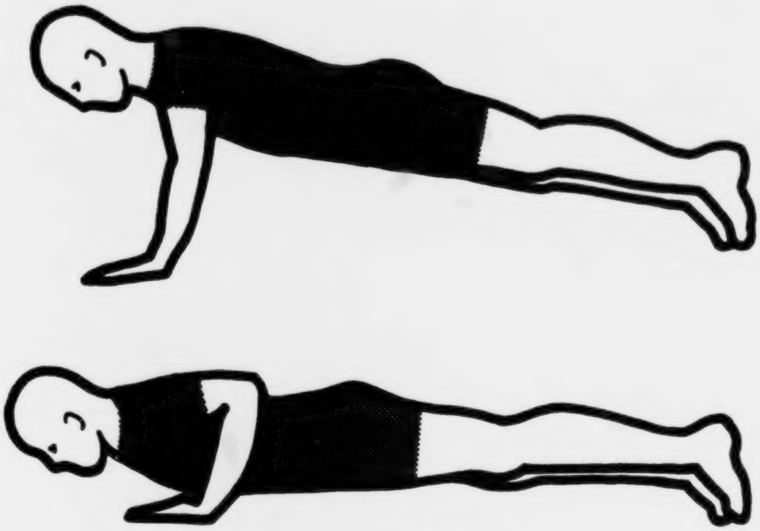

Figure A-5
Exercise for Strength—Push-Ups

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Sit-Ups

Lie on your back with hands behind neck, legs straight. Flex the trunk and sit up, then return to starting position. You should be able to perform 25 sit-ups. (See Figure A-6)

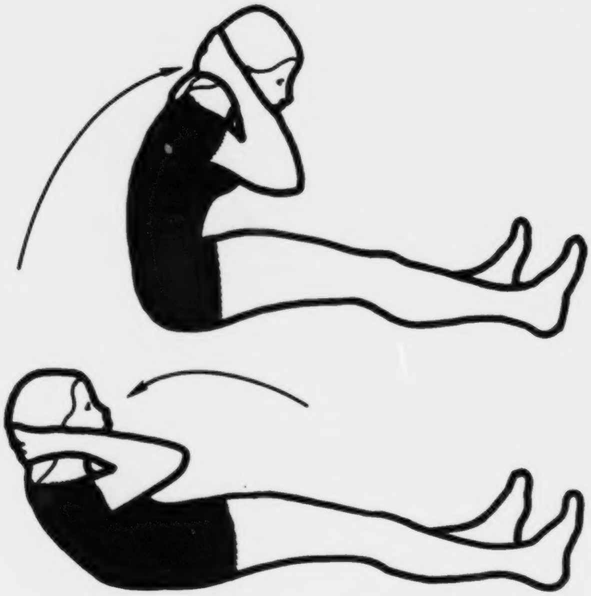
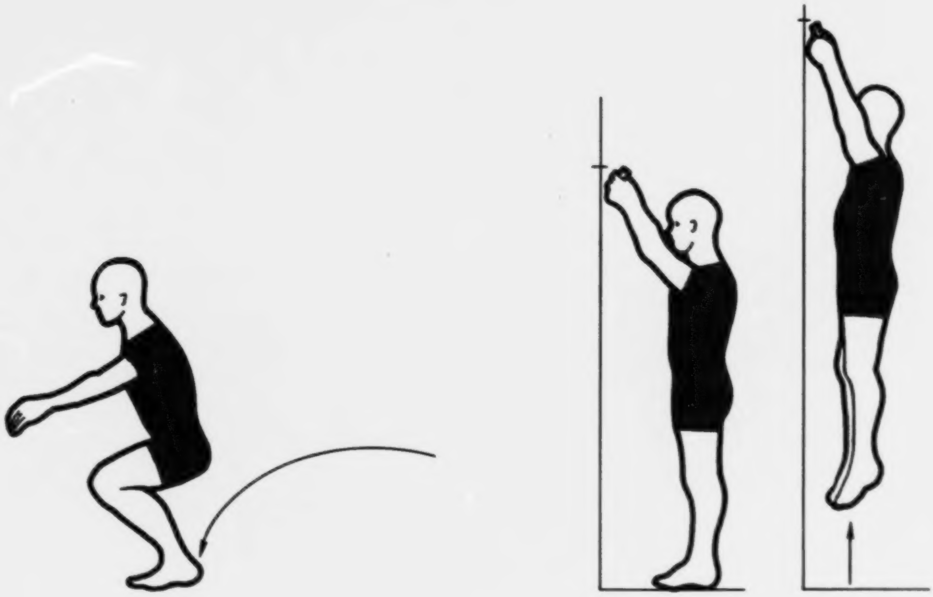


Figure A-6
Exercise for Strength—Sit-Ups

5. To develop power:

Standing Broad Jump
From a standing position, jump as far forward as you can, landing on both feet. (The length of the jump should at least equal your height.)

Vertical Jump
Stand facing a wall, feet and chin touching wall, arms extended over the head. Note your height (mark with chalk). Now jump up and touch the wall as high as you can with one hand (use chalk to mark height). Note the difference between the two marks on the wall. You should be able to perform a vertical jump of 18 inches or more. (See Figure A-7)



Standing Broad Jump

Vertical Jump

Figure A-7
Exercises for Power

Secondary Exercise Routine

When you comply with the standards for performing the beginning exercise routine, you may begin the secondary exercise routines. Any exercise should begin with a warm-up. The exercises you performed in the beginning routine may also be used as your warm-up. Following the warm-up exercise, each secondary exercise has a starting **position**, the **action** to be performed, and the number of **repetitions** required for the exercise.

1. Warm-Up

Warm up the body gradually with light exercises such as preliminary bending, stretching, or running-in-place before speed or force exercises are performed. This provides protection against injuries and oxygen deficiency.

2. Stretching and Deep Breathing

Position:	Standing, arms at side, feet at shoulder width.
Action:	Inhale deeply as you stretch both arms overhead, look up, rise on toes. Exhale forcefully as you return to starting position. Repeat 4 to 6 times. (See Figure A-8)

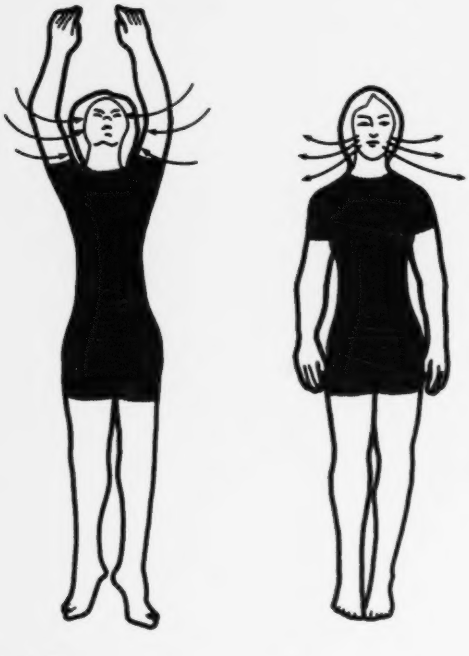


Figure A-8
Stretching and Deep Breathing

3. Neck Rolling

Position:	Standing, hands on hips, feet at shoulder width.
Action:	Roll the neck slowly forward and backward in a clockwise manner three times. Reverse and do the same counter-clockwise three times. Repeat two times. (See Figure A-9)

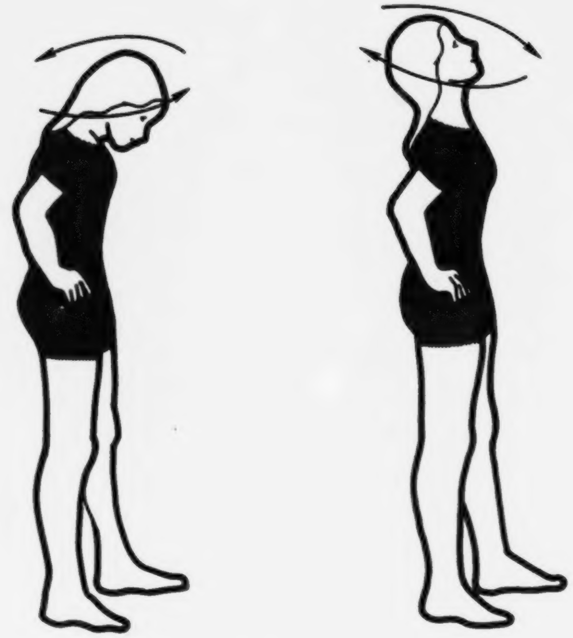


Figure A-9
Neck Rolling

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4. Arm Circles

Position:	Arms extended from sides at shoulder level, palms down, feet at shoulder width.
Action:	Make 20 small circles with hands and arms while keeping arms straight, stomach in, head erect. Reverse and do 20 in opposite direction. Repeat 2 to 4 times. (See Figure A-10)

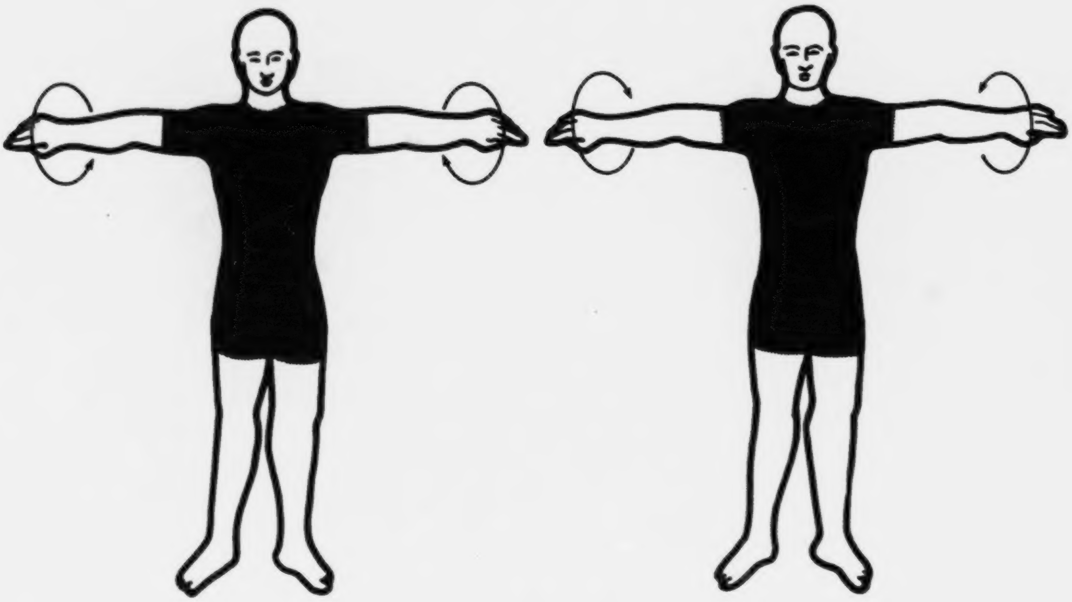

Figure A-10
Arm Circles

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5. Half-Knee Bends

Position:	Hands on hips, feet at shoulder width, toes pointed straight ahead.
Action:	Bend knees until the upper thighs are horizontal. Keep trunk straight and feet flat on ground. Return to starting position. Repeat 10 to 20 times. (See Figure A-11)

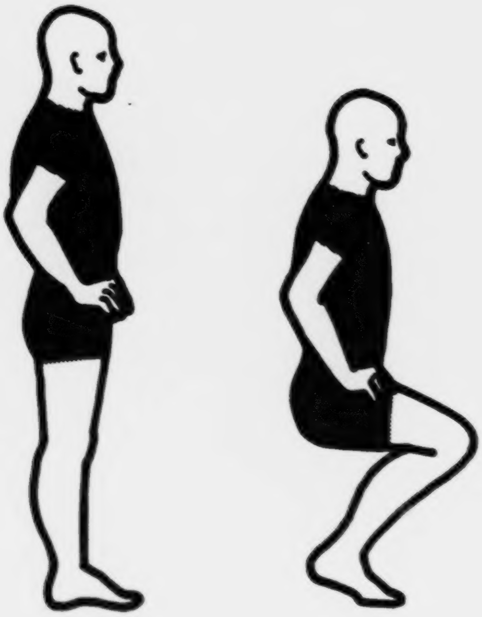

Figure A-11
Half-Knee Bends

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6. Knee-Pull to Chest

Position:	Arms at sides, standing straight, feet slightly spread.
Action:	Bring left knee up, grab it with both hands and pull it to your chest. Keep trunk upright. Return to starting position. Repeat with right knee. Repeat 10 to 12 times with each knee. (See Figure A-12)

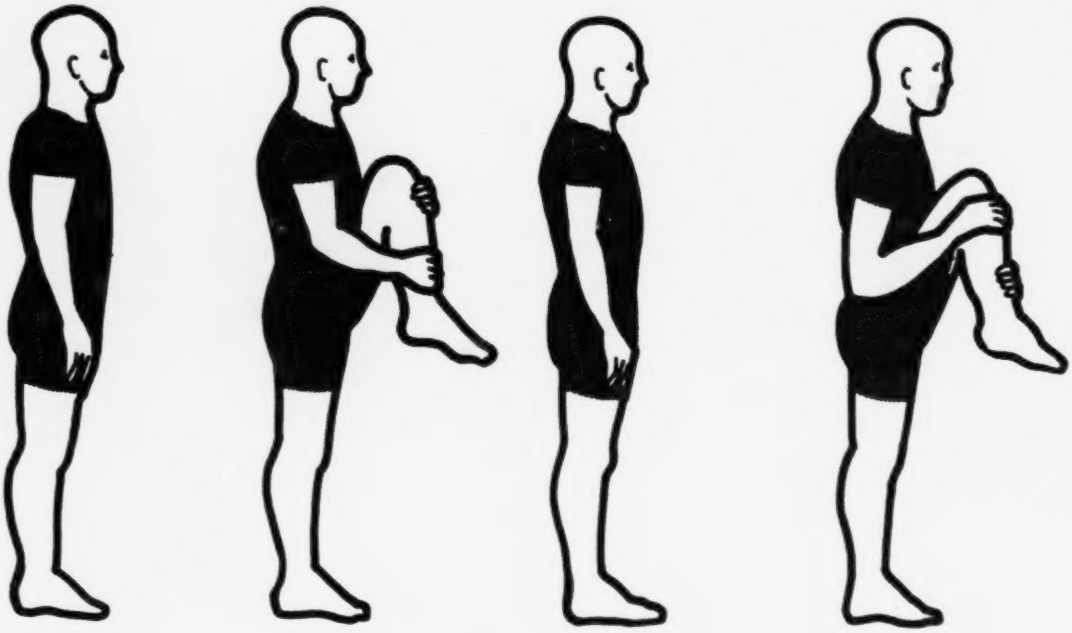

Figure A-12
Knee-Pull to Chest

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7. Trunk Bends—Hands to Ground

Position: Hands on hips, feet spread wide apart, knees straight.

Action: Bend trunk downward until palms are flat on ground. Bounce to ground with flat palms 6 to 8 times and recover. Repeat 4 to 6 times. (See Figure A-13)

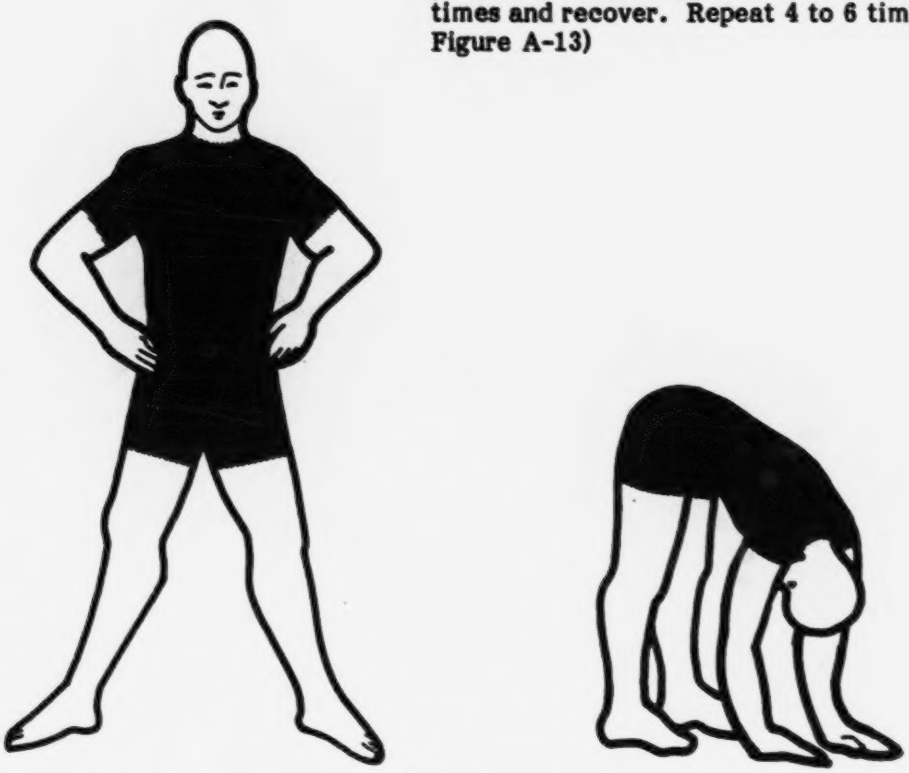

Figure A-13
Trunk Bends--Hands to Ground

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8. **Windmill**

Position:	Stand erect, feet wide apart, arms extended to sides.
Action:	Touch right hand to left toe as left arm is moved back and up. Touch left hand to right toe as right arm is moved back and up. Repeat 10 to 12 times to each side. (See Figure A-14)

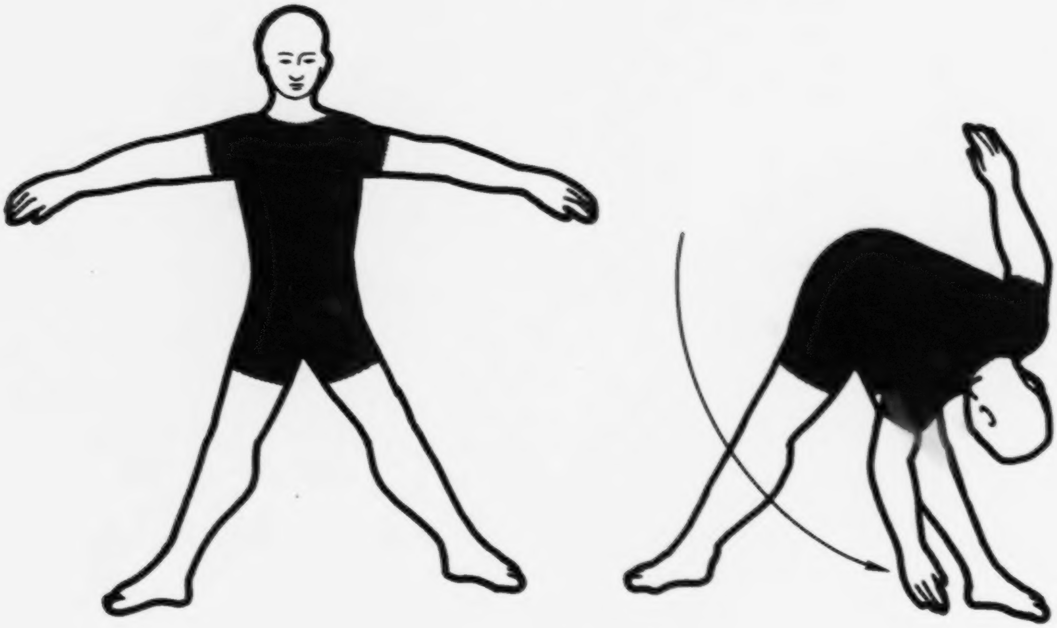

Figure A-14
Windmill

9. Abdominal Stretches

Position:	Hands on ground at shoulder width, body straight and extended, toes on ground.
Action:	Keeping arms straight, stretch abdomen down, pulling head back. Bend body upwards, forcing head down between arms, compressing abdominal muscles. Return to starting position. Repeat, alternately stretching and compressing abdominal muscles. Repeat 10 to 20 times. (See Figure A-15)

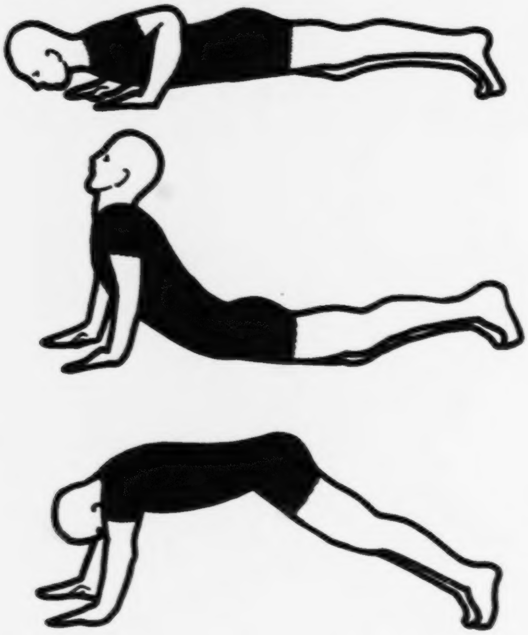

Figure A-15
Abdominal Stretches

10. **Jumping Jacks**

Position:	Feet together with hands at sides.
Action:	Jump to straddle position and clap hands overhead. Recover and repeat with rhythm. Repeat 10 to 20 times. (See Figure A-16)

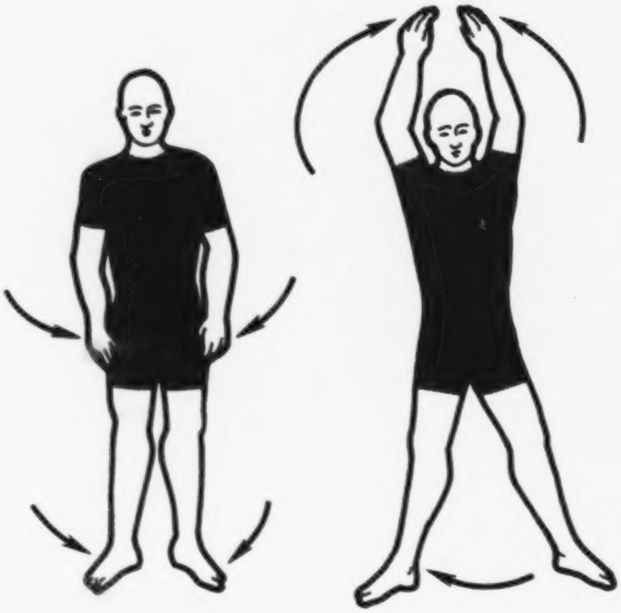

Figure A-16
Jumping Jacks

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Jogging and Running

You have been cautioned to warm up the body gradually before performing speed or force exercises. The instructions for both jogging and running include preliminary warm-up activities as well as progressive performance routines.

1. Jogging

Jogging involves alternately walking and running at a slow to moderate pace. You should cover approximately a mile in 10 minutes. You should first warm up with one of the exercise routines previously described. Body posture is upright, elbows bent with hands almost on chest as shown in Figure A-17. Breathing is done through the mouth and nose. Avoid arching the back and protruding the buttocks. The foot strike is either flat-footed or on the heel, rocking forward. Keep the steps short and comfortable. You should be able to walk a mile briskly without experiencing undue fatigue before starting a jogging routine.

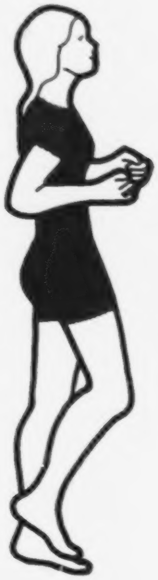

Figure A-17
Correct Body Posture for Jogging

2. Running

Running requires that you cover a mile in under 8 minutes without dropping off to a jog or walk. You should be able to jog at a steady pace, covering a mile in 10 minutes or less, before attempting the mile at a running pace. When you can run a mile in 8 minutes or less, without experiencing undue breathlessness or fatigue, you can start on the 3 mile run.

Your ultimate goal should be to run the 3 miles in 25 to 30 minutes. The important factor is not so much how far or how fast, but **how long you run.** The heart rate increases during this time, the arteries are stretched and dilated, and the lungs are forced to expand.

Summary

Since most criminal justice occupations require a very high level of **physical fitness** and physical strength, before you plan a career in any of the occupations, you should be sure that (1) you are **committed to maintaining** that high level of fitness throughout your career and (2) you **have no medical condition** which would affect your ability to function in the occupation. Before beginning ~~the~~ program, you should: furnish evidence of a **satisfactory medical evaluation** which includes an exercise or stress ECG, pass the **Cureton's Breath-Holding Test**, the **Kasch Pulse Recovery Test**, and the **Cooper's 12-Minute Walk/Run Test**. Performing the **beginning exercise routines** to develop balance, flexibility, agility, strength, and power will condition you for the **secondary exercise routines** which will further increase your **endurance**. Continuing the secondary exercise routine, plus jogging and running throughout your career, will develop your endurance and keep you physically fit to meet emergency situations.

Now complete the review questions beginning on the next page.

Review Questions (V: A)

Write your answers on a separate sheet of paper.

1. Why is endurance the first goal of total physical fitness in this program?
    a. The officer must have a high degree of strength, agility, and coordination.
    b. The officer may be assigned to a desk job.
    c. The officer must be prepared for extended physical exertion.
    d. The officer may be exposed to violent persons.

2. Criminal justice personnel must have more than enough physical ability for their own survival because: (Choose **all** correct answers.)
    a. they may be required to meet maximum energy output for extended periods.
    b. they may have to rescue someone else in addition to saving themselves.
    c. they may be assigned to an administrative position.
    d. emergency situations are the rule rather than the exception.

3. A medical evaluation will: (Choose **all** correct answers.)
    a. include a stress or exercise ECG.
    b. prevent possible lost time and energy in making a career choice.
    c. allow you to begin treatment to correct any limiting physical problems.
    d. not be required as part of the physical fitness program.

4. Explain why self-evaluation is important in preparing for a criminal justice career.

5. Lying flat on the stomach with face down, fingers laced behind neck, and feet anchored to floor. then raising the chin until it is 18 inches off the floor is a basic exercise for:
    a. balance.
    b. flexibility.
    c. agility.
    d. power.

6. From a standing position, jumping as far forward as you can and landing on both feet is a basic exercise for:
    a. flexibility.
    b. agility.
    c. power.
    d. strength.

7. To meet the beginning exercise standard for agility, squat thrust exercises should be completed at the rate of:

   a. 3 in 6 seconds.
   b. 5 in 10 seconds.
   c. 8 in 4 seconds.
   d. 4 in 8 seconds.

8. To meet the standard for a vertical jump, you should be able to perform a vertical jump of at least:

   a. 14 inches.
   b. 18 inches.
   c. 20 inches.
   d. 24 inches.

9. Before beginning an exercise program, you should pass the following physical fitness standards: (Choose all correct answers.)

   a. Kasch Pulse Recovery Test.
   b. stress ECG.
   c. trunk flexion.
   d. Cureton's Breath-Holding Test.

10. Cooper's test to determine physical fitness requires that you run or walk for:

    a. 5 minutes.
    b. 8 minutes.
    c. 12 minutes.
    d. 15 minutes.

11. Which secondary exercise routine requires hands on hips, feet placed at shoulder width, and toes pointed straight ahead as a starting position?

    a. windmill
    b. half-knee bends
    c. knee-pull to chest
    d. jumping jacks

12. Touching the right hand to the left toe as the left arm is moved back and up and the left hand to the right toe as the right arm is moved back and up is the action for which secondary exercise?

    a. arm circles
    b. jumping jacks
    c. trunk bends—hands to ground
    d. windmill

13. The standard for jogging is to alternately walk and run at a slow to moderate pace covering:

    a. 1 mile in 15 minutes.
    b. 1 mile in 10 minutes.
    c. 2 miles in 10 minutes.
    d. 2 miles in 15 minutes.

14. The standard for running is covering a mile in less than how many minutes?

15. Your ultimate goal for the physical fitness program is to run how many miles in how many minutes?

16. The important factor in running is:

    a. how fast you run.
    b. how long you run.
    c. how far you run.
    d. how often you run.

Check your answers with the correct ones provided in the answer key.

1. Following the directions given in the text, practice the **beginning exercise routines** until you can meet the standard for each of the following:

   - To develop balance—maintain the position for 20 seconds without shifting your feet or opening eyes.
   - To develop flexibility in:
     trunk flexion—from indicated position, touch floor with fingertips 20 times.
     trunk extension—from indicated position, raise chin until 18 inches off floor; repeat 5 times.
   - To develop agility—complete 4 or more squat-thrust routines in 8 seconds or less.
   - To develop strength—perform at least:
     4 pull-ups
     15 push-ups
     25 sit-ups.
   - To develop power—perform:
     a standing broad jump equal to your height
     a vertical jump of 18 inches or more.

2. Following the directions given in the text, practice the **secondary exercise routines** until you can meet the standard for each without undue breathlessness or fatigue.

   - Warm-up accomplished with light exercises.
   - Stretching and deep breathing routine performed 4 to 6 times.
   - Neck-rolling routine repeated twice.
   - Arm-circles routine repeated 2 to 4 times.
   - Half-knee bends routine repeated 10 to 20 times.
   - Knee-pull to chest routine repeated 10 to 12 times.
   - Trunk bends—hands to ground routine repeated 4 to 6 times.
   - Windmill routine repeated 10 to 12 times.
   - Abdominal stretches routine repeated 10 to 20 times.
   - Jumping jacks routine repeated 10 to 20 times.

3. Following the directions given in the text, practice **jogging** and **running:**

   - o Jog 1 mile in 10 minutes by the end of the first grading period.
   - o Run 1 mile in 8 minutes or less by mid-term.
   - o Run 3 miles in 30 minutes or less by the end of the year.

NOTE: If you have any problems while practicing these exercises, discuss them with your instructor and follow his/her instructions.

If you feel confident that you have achieved the performance objectives for this unit, ask your instructor for the posttest (V: A).

Ask your instructor for the pretest for this unit (V: B). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

Introduction

Many criminal justice occupations face the hazard of possible violent confrontation. These confrontations may range from a mild display of temper to extreme assaultive behavior. Criminal justice personnel are required by law to respond with no more force than what is required to control the subject. The criminal justice agent cannot simply walk away from such a situation as a private citizen can. Criminal justice personnel must live with the potential danger of physical injury or death as well as the threat of civil liability which may result from their response to violent situations.

As each section of this unit is developed, the importance of becoming physically fit and maintaining that fitness throughout your career will become very clear. Specific knowledge, skills, and techniques for coping with these situations will vary among individuals, instructors, and training programs. However, there are specific guidelines regarding the learning and use of combative and defensive tactics. A person's mind (cognitive component), emotions (affective component), and physical abilities (psychomotor component) are all essential to the development of combative and defensive skills.

Objectives

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Identify three skills included in the cognitive component of combative tactics.
2. Describe the affective component of combative tactics.
3. Identify in correct order the five steps to be followed when responding to a potentially violent situation.
4. Identify the usual response sequence of combative tactics used by criminal justice personnel in responding to a violent confrontation.
5. Identify the seven principles of combative arts.
6. Identify the objectives of defensive, counteroffensive, controlling, and arresting tactics.

Performance Objectives

Following training in combative and defensive tactics, demonstrate the following techniques and skills in a contact fighting bout or match:

A. Psychomotor skills

   1. Defensive tactics
      a. blocking
      b. parrying
      c. evading

   2. Counteroffensive tactics
      a. throwing
      b. grounding
      c. kicking/striking
      d. disarming

   3. Controlling tactics
      a. grappling
      b. wrist and arm locking
      c. choking/carotid block

   4. Arresting tactics
      a. positioning
      b. handcuffing on ground
      c. searching

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B. Cognitive and affective skills

1. Calmness

2. Courtesy

3. Patience

4. Self-control
   a. body language
   b. facial expressions

Cognitive Survival Skills

Cognitive survival skills are the mental skills you will develop as you become proficient in combative tactics. These cognitive skills include:

- **understanding** the law of response
- **perception** of circumstances which might provide opportunities to de-escalate a violent confrontation
- **awareness** of the principles of response in order to reduce the level of danger.

Criminal justice personnel in the 1980s must be alert to the probability of violent and assaultive behavior. Not only are there more incidents of violence, but there are also more restrictions regarding the response to it. In order to avoid civil liability in the performance of duties, the criminal justice officer must know the laws concerning response and force which govern the jurisdiction in which s(he) is employed.

It is well beyond the scope of this unit to explore all of the laws regarding the **use of force**. All criminal justice personnel must familiarize themselves with the state law, local law, and agency policy on the subject. In Florida, Chapter 776 of the Florida Statutes should be known thoroughly. The following are partial extracts from Section 5 (776.05) of the Florida Statutes:

776.05 - A Law Enforcement Officer - need not retreat or resist from efforts to make a lawful arrest. He is justified in the use of any force, except deadly force, which he reasonably believes to be necessary to effect the arrest - to defend himself or another from bodily harm. However, he is justified in using deadly force only when he reasonably believes that such force is necessary to prevent death or great bodily harm to himself or such other person.

NOTE: This section of the law also provides for the prevention of escape (fleeing felon doctrine, etc.). These provisions are frequently changed by appellate courts and departmental policy. Individual departments have formulated their own standard procedures regarding the restraints placed on their officers in the use of deadly force. These individual departmental policies should be examined and adhered to in conjunction with existing laws. You should not rely on the brief extract above but research the **current** law.

Maintaining emotional control during threatening encounters is a basic component of combative tactics. Controlling the emotions prevents response behavior from progressing to physical violence. Body language and facial expressions communicate feelings of fear, hate, anger, and contempt as clearly as words and actions. Therefore, the expression of your emotions must be controlled physically as well as mentally.

Coping with violent persons is a common occurrence in many criminal justice occupations. You should examine your personal philosophy concerning violence. If confrontations within violent situations cause you to experience extreme emotional stress you should probably select another career field unless you can learn to cope with it.

Controlling your fear and anxiety has both **mental** and **physical** aspects. Your **mental** attitude can be revealed in many ways and you must consciously practice **not** communicating your feelings in confrontation situations. The **physical** control aspect can be developed through regular contact-fighting sessions. Martial arts (judo, karate, aikido), wrestling, or boxing are all forms of contact fighting which will help you to develop physical control. The sessions should be aggressive and regular—they should meet at least twice a week or more. Regular workouts in contact fighting will improve your physical and emotional conditioning, and help you to control fear and anxiety. These sessions should stress courtesy, calmness, patience, and self-control, especially while you are practicing the physical activity. **The objective is to develop a conditioned response to violence which is calm, controlled, and unemotional—yet effective.**

No single combative sport or martial art will provide **all** of the possible response techniques which criminal justice agents are permitted to use. Therefore, no attempt is made in this unit to include the entire range of responses. This will be left to your program instructor.

The reaction to a possibly violent encounter should begin with a rational response to the situation before physical force is used. PERSUASION FIRST—FORCE LAST. When responding to a potentially violent situation, there are five steps to consider.

STEP 1 Efforts should be made to de-escalate the threatened violence by persuasion.

STEP 2 If this does not work, restraining methods may be used.

STEP 3 If this is not effective, direct contact skills without the use of weapons may be utilized.

STEP 4 If further efforts are necessary, the use of non-deadly weapons is the next step.

STEP 5 As a **last resort**, deadly weapons may be used **only if** the conditions fulfill the legal requirements concerning the use of deadly force.

When it is obvious that assaultive or violent confrontations cannot be de-escalated, and the criminal justice agent is forced to respond physically, psychomotor skills are usually used in this response sequence:

- defensive tactics
- counteroffensive tactics
- controlling tactics
- arresting tactics
- searching tactics

Principles of the Combative Arts

Keeping the following principles of combative arts in mind as you practice contact fighting will enable you to place your opponent at a disadvantage and to maintain your advantage.

1. **Balance.** Maintaining your own balance while putting your opponent off-balance is important in all combative methods. Keeping the feet moderately spread with knees slightly bent provides balance side to side, while keeping one foot forward provides balance front to back. You should constantly shift the feet for the best balance in relation to the direction of the attacker.

2. **Gravity.** The principle of gravity controls your ability to maintain balance. The center of gravity of most persons is just below the navel. If a fulcrum, such as the hip or leg, is applied at this point, a successful throw is more likely. The line of gravity in humans is a vertical line through the head and body. Upsetting your opponent's balance while maintaining your own is the most important principle in combative situations. (See Figure B-1)

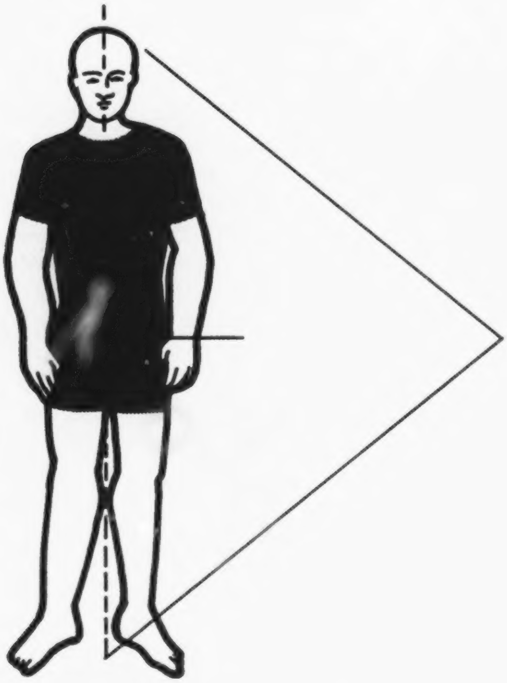

Figure B-1
Line of Gravity through Body

3. **Use of Large Muscle Groups.** The abdominal muscles and back muscles should be used as a source of power in applying hip throws and delivering kicks. These techniques are more effective than the traditional use of arms and fists only. They can also be effectively combined with the use of leverage.

4. **Leverage.** Leverage can be used to apply pain as a control mechanism. Some examples include arm bars, wrist twists, shoulder throws, and hammer locks. Leg throws, hip throws, and leg sweeps are ways in which the body and legs can be used together to provide leverage.

5. **Momentum.** A body in motion tends to continue in the direction in which it is moving. Side-stepping a charge while simultaneously accelerating the motion with your hands, or using leg sweeping or ducking can put your opponent at a disadvantage.

6. **Reaction Time.** The person initiating an assault always has the advantage in the beginning. Since an unconditioned reflex is generally too slow, you should work to condition your reflexes for instant and effective reaction. Conditioned reflexes can be developed through repetitive drills in realistic training situations, or even better, by regular competitive practice in combative arts such as boxing, wrestling, judo, aikido, and karate. As we pointed out earlier, regular work-outs also result in physical and emotional conditioning as well as reflex conditioning. Panic is less likely to occur in a violent encounter if you are already conditioned to the elements of such a situation.

7. **Vulnerable Areas.** The human body has many structural weaknesses. Knowing these is essential and increases the effectiveness of the strikes and holds which are used to control a violent person. The temple is one point of weakness, and a blow to the temple can cause unconsciousness. Other weak points include the eyes, solar plexus, groin, liver and kidney areas, knees, shins, Achilles tendon, elbow, back of neck, and throat. Care must be used in attacks to these points, and the conditions must warrant the degree of force used against vulnerable areas. The following illustration shows some of the vital nerve and pressure point areas which can be used in combative tactics. (See Figure B-2)

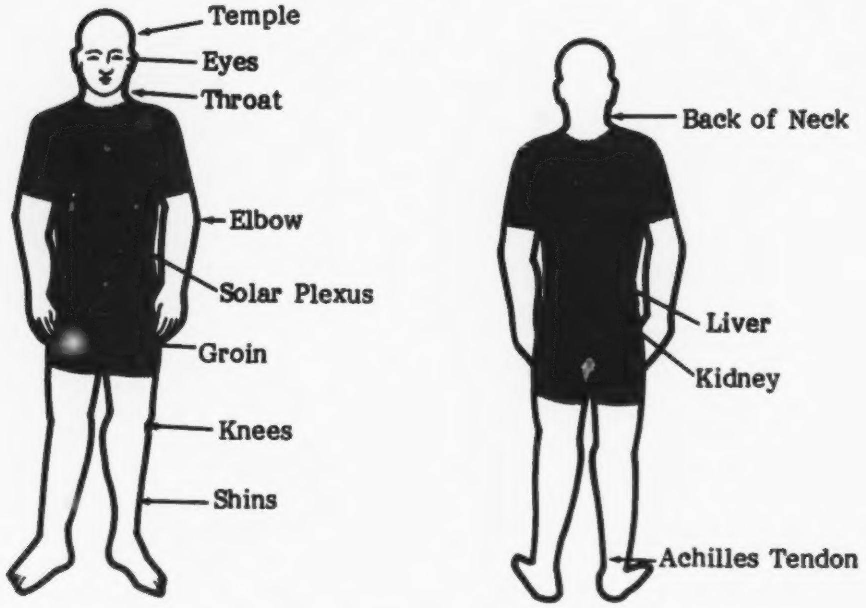

Figure B-2
Vulnerable Points of Attack

Objectives of Combative Tactics

The following section describes combative tactics which you should learn and practice until they become second nature to you. Practice aggressively and regularly until you are conditioned physically, mentally, and emotionally to respond to potentially violent situations. Your instructor will determine the specific tactics to be learned and used in meeting the objectives for each stage. The important thing is that the objective be achieved within the permissible use of force requirements, not **how** it is achieved.

Defensive Tactics

Objective: To survive the initial engagement.

1. **Blocking.** Blocking is a method of stopping an attack upon the intended target. Whether the attacking weapon is the hands, fist, feet, club, or knife, there are well-established techniques in most combative arts to block such attacks. These usually involve pivoting and counterstriking. Your instructor will determine which blocking styles you will learn and practice. The most important objective is to keep the attack from disabling you.

2. **Parrying.** In parrying, the attack is deflected from its original path. If force, speed, or the nature of the weapon prevents you from fully blocking or stopping the momentum of the attack, parrying might at least stop it from striking the intended target and buy a little time in which to react more effectively. The parry can be a controlled pivot followed by enough deflecting counterstriking to change the assailant's direction enough to miss the target. Parrying techniques are an important part of the martial arts. You must experiment in simulated attack/parry situations in order to find your most effective parrying technique.

3. **Evading.** In the event that the defender is outnumbered, overwhelmed, ambushed, or grabbed, it is usually too late to block or parry. As a last resort, there are many escape techniques included in the combative arts. Escape from rear and front hugs, escape from rear and front strangles, and escape from wrist holds will be included in your training. However, whenever possible you should avoid allowing the assailant to grasp or choke you because these holds are often difficult to escape from, particularly if your attacker is stronger than you are. Falling, diving, tumbling, and other agility skills are also important techniques which you will need to learn and practice.

Counteroffensive Tactics

Objective: To gain the initiative following a successful defense.

1. **Throwing.** Getting a resisting person on the ground is a necessary first step toward achieving control. The throw is often a natural follow-through from a block or parry. If it is done with sufficient impact it can also stun or temporarily disable the attacker, thereby making control easier. The throwing techniques of wrestling or judo are excellent for this purpose. Figure B-3 illustrates one technique for throwing an opponent. Direct-contact techniques such as punching, kicking, and edge-of-hand (knife-hand) strikes are considered an undue use of force.

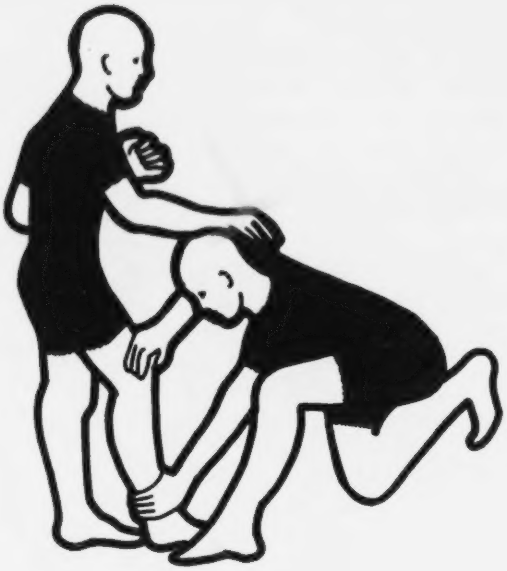

Figure B-3
Hands to Heel and Knee Throw

2. **Grounding.** Having the subject on the ground provides the advantage of having an unyielding surface beneath the subject so that the full body weight is on top. Wrestling and judo-mat fighting techniques provide many methods of pinning and holding the subject once they are grounded. Getting help at this point rather than continuing a one-on-one struggle is usually advisable.

3. **Kicking/Striking.** If grounding is impossible due to the strength or advantage of the offender, direct contact by kicking or striking might be necessary. The striking and kicking techniques learned in boxing and karate are useful in this situation. Figure B-4 illustrates the rear kick to knee method of taking your opponent down.

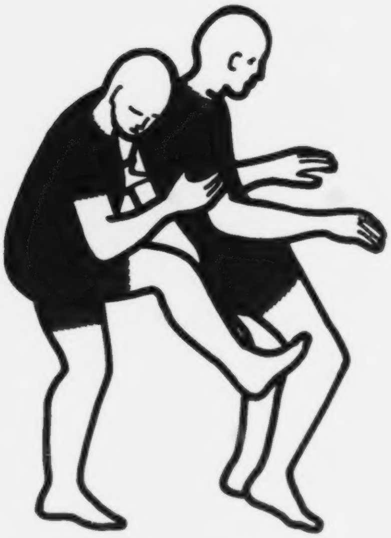

Figure B-4
Rear Kick to Knee Throw

4. **Disarming.** When confronted with a subject who has a deadly weapon, the first consideration must be survival. Yielding to the subject's intentions may be the best means of survival. It is difficult to evaluate whether a person is a potential killer. The decision to attempt to disarm a person is not easy to make and no advice can be given. The disarming techniques must be practiced to the point of becoming a conditioned reflex before a real-life attempt can be made. There are many techniques which can be used to disarm an opponent, and your instructor will determine which you will learn.

Controlling Tactics

Objective: To stop all resistance through total control of the subject.

1. **Grappling.** Grappling techniques are the pinning techniques used in wrestling and judo which are used to restrain a subject once the subject is grounded.

2. **Wrist and Arm Locking.** Wrist and arm locking are similar to grappling but usually provides control through the use of pain. The subject must know that pain, dislocation, or a break could result if resistance continues.

3. **Choking/Carotid Block.** Choking or strangle techniques shut off the ability to breathe. The usual technique applies wrist pressure to the trachea until unconsciouness occurs. The carotid block compresses the carotid arteries on each side of the neck until unconsciousness occurs. Great care must be exercised in either case. Such techniques should be understood thoroughly because they block the supply of oxygen to the brain. Figure B-5 illustrates a throwing technique using the rear-strangle lock. Some jurisdictions consider these techniques to be the use of deadly force. Be sure that you fully understand the legal consequences set forth by the jurisdiction in which you are employed.

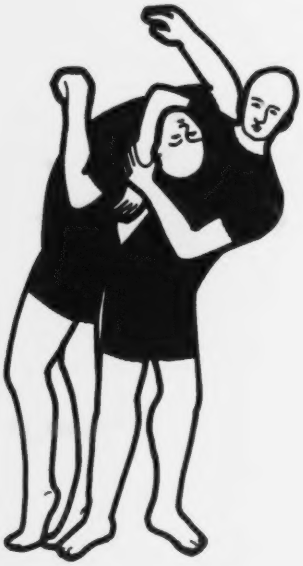

Figure B-5
Rear-Strangle Lock Throw

Arresting Tactics

Objective: To secure the subject and terminate resistance.

1. **Positioning.** Once the subject is under control, his/her body must be positioned so that the handcuffs can be easily applied. When the subject is face down on the ground with the arms behind the back, it is easier to apply the handcuffs.

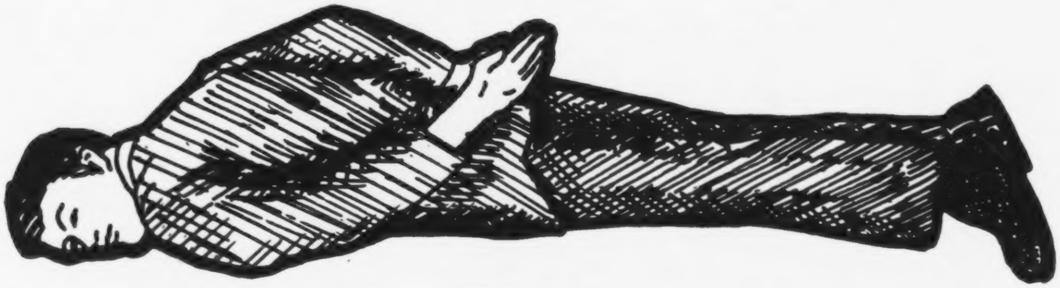

Figure B-6
Position for Handcuffing a Violent Person

2. **Handcuffing on the Ground.** When the subject is violent they must be grounded and brought under control. Hands should be positioned back to back, palms out, thumbs outward. Cuffs should be applied securely, but not tightly enough to restrict circulation, and they should be double locked. (See Figures B-6 and B-7)

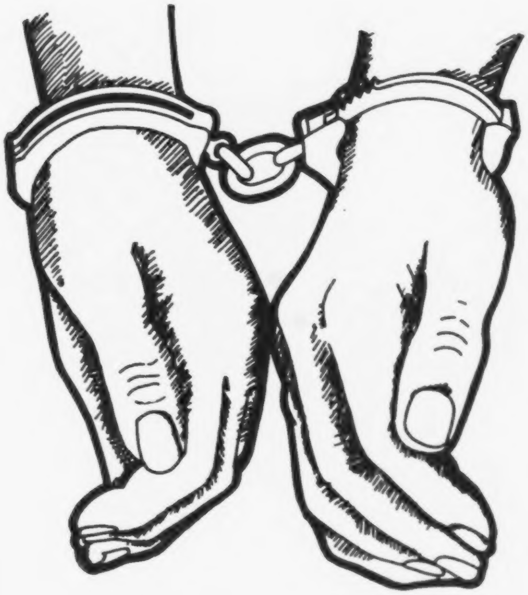

Figure B-7
Hands Positioned for Handcuffing

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3. **Searching.** The subject should be thoroughly searched for weapons and contraband while on the ground.

   NOTE: The assumption throughout this unit has been that the subject is violent and that combative tactics are necessary. None of the instructions given in the unit apply to the normal mechanics of arrest, search, and handcuffing of yielding, nonviolent prisoners. For nonviolent persons, the wall search, kneeling search, and other methods as described in the law enforcement unit of instruction are to be used.

Summary

In order to cope with violent persons and situations, combative tactics must be used with proper timing, force, and control.

The **cognitive** component of combative tactics demands understanding, perception, and awareness of all aspects of a potentially violent situation.

Criminal justice officers must maintain emotional control at all times while working. They must be able to cope with violent persons and situations without undue emotional stress. Mental attitudes and physical abilities must be developed to control fear and anxiety. The objective of the **affective** component of combative tactics is a conditioned response to violence which is calm, controlled, and unemotional—yet effective.

If conditions permit, efforts should always be made to **de-escalate** potential violence. **PERSUASION FIRST — FORCE LAST.** If persuasive verbal, and attitudinal responses fail, then the criminal justice officer must resort to restraining methods; then, to direct contact skills without weapons; next, to non-deadly weapons; and, as a last resort, to deadly weapons. The **response sequence** of the **psychomotor** component is: defensive tactics, counteroffensive tactics, controlling tactics, arresting tactics, and searching tactics. Basic **principles** of combative arts include: balance, gravity, use of large muscle groups, leverage, momentum, reaction time, and knowledge of your opponent's vulnerable areas. The **objectives** of combative tactics are: to survive the initial engagement, to gain the initiative following a successful defense, and to stop all resistance through total control of the subject. These objectives must be met **without** the use of deadly force unless great bodily harm or death is threatened.

Now complete the review questions beginning on the next page.

Review Questions (V: B)

Write your answers on a separate sheet of paper.

1. To which of the following does the cognitive component relate?

    a. mental capacity or knowledge
    b. emotional capacity or control
    c. physical agility and capability
    d. spiritual sensitivity

2. Which of the following are cognitive skills?

    a. knowledge of the use of force laws
    b. knowledge of principles of combative arts
    c. knowledge of the range of response
    d. all of the above

3. Which of the following is **not** one of the cognitive skills considered important to learning combative tactics?

    a. awareness
    b. spiritual sensitivity
    c. perception
    d. understanding

4. Which of the following conditions must exist to justify the use of deadly force?

    a. it is necessary to prevent death or great bodily harm
    b. it is necessary to effect the arrest
    c. the offender makes the first aggressive move
    d. none of the above

5. Which of the following best describes the principle objective of the affective component of combative tactics?

    a. mental capacity or knowledge
    b. emotional control
    c. physical agility and capability
    d. spiritual sensitivity

6. Responses to be followed in a threatened violence are given below. Write the letters **a-e** on your paper. Then arrange the responses in the order they should be used by numbering them—one for the first response to be applied, two for the second response, and so on. Write the number next to the appropriate letter.

    a. restraining methods
    b. nondeadly weapons
    c. de-escalate the situation by persuasion
    d. deadly weapons
    e. direct contact without weapons

7. Which of the following is the objective of regular contact-fighting practice sessions?

   a. to develop a conditioned physical and emotional response
   b. to survive the initial engagement
   c. to gain the initiative following defensive tactics
   d. to stop all resistance after counter-offense

8. Which of the following states the correct response sequence of the psychomotor component of combative tactics?

   a. defensive, controlling, searching, arresting
   b. defensive, counteroffensive, controlling, arresting, searching
   c. arresting, searching, defensive, controlling
   d. searching, arresting, defensive, counteroffensive, controlling

9. Match the terms in column 1 with the principle of combative arts in column 2. List the letters **a-g** on your paper, then write the number from column 2 by the letter for the term which is described in column 1.

   Terms

   a. momentum
   b. gravity
   c. use of large muscles
   d. leverage
   e. balance
   f. reaction time
   g. vulnerable areas

   Principle

   1. maintaining your footing while throwing your opponent off-balance
   2. maintaining a vertical line through the head and body
   3. knowledge of structural weaknesses of the human body
   4. using leg throws or sweeps and hip throws
   5. getting the first advantage through conditioned reflexes
   6. a body in motion tends to continue in the direction it is moving
   7. provides a source of power

10. Which of the following is the objective of defensive tactics?

    a. to gain the initiative following a successful defense
    b. to stop all resistance through total control of subject
    c. to survive the initial engagement
    d. to make a conditioned physical and emotional response

11. Which of the following is the objective of counteroffensive tactics?

    a. to gain the initiative following a successful defense
    b. to stop all resistance through total control of the subject
    c. to survive the initial engagement
    d. to make a conditioned physical and emotional response

12. Which of the following is the objective of controlling tactics?

- **a. to gain the initiative following a successful defense**
- **b. to stop all resistance through total control of subject**
- **c. to survive the initial engagement**
- **d. to make a conditioned physical and emotional response**

Check your answers with the correct ones provided in the answer key.

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1. Participate in contact-fighting sessions at least two times each week. (These may be martial arts such as judo and karate or wrestling and boxing matches, as directed by your instructor.)

2. Practice the principles of combative arts.

   - Maintain your balance while putting your opponent off-balance. Keep your feet moderately spread with knees slightly bent. Shift your feet constantly for the best balance in relation to the direction of your opponent.

   - Maintain your own line of gravity (a vertical line through the head and body) as you upset your opponent's.

   - Practice hip throws and kicks which use the abdominal and back muscles as a source of power.

   - Practice using leverage as a control mechanism. Leverage may be applied through arm bars, wrist twists, shoulder throws, and hammer locks. The body and legs may be used for leverage through leg throws, hip throws, and leg sweeps.

   - Practice side-stepping or ducking a charge by your opponent while accelerating his/her motion with your hands, body movement, or leg sweeps.

   - Practice regularly to condition your reflexes for instant and effective reactions.

   - Learn the vulnerable areas of the human body and the degree of force which can be used to control an opponent without injury.

If you feel confident that you have achieved the performance objectives for this unit, ask your instructor for the posttest (V: B).

Block V: Proficiency Skills
Unit C: Police Short Baton

Ask your instructor for the pretest for this unit (V: C). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

Introduction

Learning how to use the short baton is a part of combative tactics. Using the baton is considered armed intervention to control unlawful, violent behavior. Although it is intended as "use of non-deadly force," the baton can become "deadly force" when used to strike the throat or head areas. Using the baton implies that persuasion and unarmed force have failed, and that intervention with non-deadly weapons is justified under the prevailing conditions.

Training in the use of the baton should involve the cognitive, affective, and psychomotor components which were explained in Unit B, "Combative Tactics." Combative tactics using the baton include: defensive, counteroffensive, controlling, arresting, and searching tactics. This unit will introduce the basics of using the baton in these various tactics.

Objectives

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Identify the advantages of the light (1" x 24") baton over the heavier weapons.
2. Identify the advantages and disadvantages of the tonfa type baton.
3. Identify the difference between "nondeadly" and "deadly" force in the use of the baton.
4. Identify the two techniques of defensive tactics and methods for using each.
5. Identify the three types of counteroffensive tactics.
6. Identify four types of controlling tactics.
7. Identify the steps of wall search tactics.
8. Identify the proper position of a prisoner's hands once handcuffs have been applied.

Performance Objectives

Given training and practice in contact fighting using the police short baton, demonstrate proficiency in using the baton for each of the combative tactics listed below.

1. Defensive tactics

   blocking (attacks from any direction):

   - two-handed grip
   - one-handed grip
   - one-armed high block

   parrying (attacks from any direction):

   - two-handed grip parry
   - one-armed parry

2. Counteroffensive tactics

   short jab
   striking counteraction
   long thrust

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3. Controlling tactics

grounding
come-along
baton hammer lock
baton arm bars

4. Arresting and searching tactics

searching—wall position
handcuffing—wall position

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Basic Baton Types

Traditional Baton:

The most common batons are 24 inches long and from 1 inch to 1 1/4 inches in diameter (Figure C-1). They can be made of wood such as ash or oak, but special hard plastics are now more common. The plastic batons are a little heavy for proper wrist action, especially for slightly-built officers. Light-weight (1" x 24") batons made from straight-grained oak are usually more effective. This light baton has better balance, is more comfortable to carry, and, with some skill development, can generate a greater tip velocity than the heavier weapons. Using wrist action, rather than long arc sweeps from behind, keeps the weapon in **front** of you, which is preferable to exposing the body during a back sweep.

Figure C-1
Traditional Baton

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Tonfa-Type Baton:

This baton is patterned after the Asian tonfa, a martial arts weapon. It has a short, perpendicular handle extension (about 5 inches) approximately one-third of the way down from the butt end. The American tonfa is made much like the traditional baton, with the addition of a handle extension. The handle extension provides the advantage of a full surface for blocking assaults. In close encounters, you can grip the baton without exposing your fingers when delivering blows with the short end. It also provides good leverage when used with controlling tactics such as arm bars and other restraints. Its use requires lengthy training, but it is an effective weapon. The primary disadvantage of a tonfa is in carrying it since the extension is inclined to get in the way.

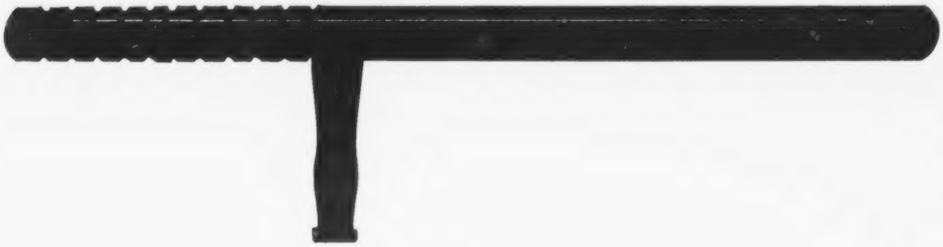

Figure C-2
Tonfa-Type Baton

The Nunchaku:

The nunchaku (Figure C-3) is another Asian martial arts weapon which has gained some popularity with American police. Essentially, it is made up of two short batons, usually about 14 inches long, joined by a 4-inch leather thong or chain between the batons. The thong or chain is useful in restraining or crushing techniques, as well as for providing a means to extend a strike. The weapon requires a great deal of training to be used effectively, and it is not commonly used by American police at this time. It is, however, an extremely efficient weapon when used properly.

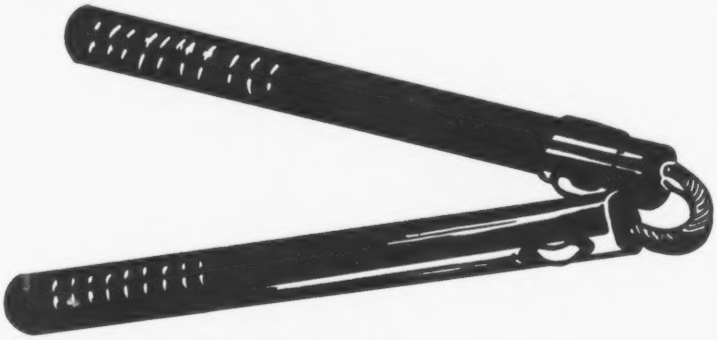

Figure C-3
The Nunchaku

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Range of Response Use

The baton, tonfa, and nunchaku are extensions of the arms and hands, although their use would be considered an "armed" response. The officer must decide if their use is justifiable by examining the "use of force" statutes and department regulations. In the previous block of instruction, you will recall that use of force ranges from an unarmed response to use of nondeadly weapons, then, if necessary, to the use of incapacitating weapons, and, finally, as a last resort, to the use of deadly weapons. The baton is considered a "nondeadly" weapon, unless it is used on the offender's head or throat area. Using the baton for head strikes immediately creates a "deadly force response." The baton should never be used to counter deadly force; therefore, it should not be used on the head. **Head strikes are forbidden.** If deadly force is justified, the service revolver is the appropriate weapon.

Carrying the Baton

The baton should be carried in a ring on the belt as a sidearm unless the situation justifies otherwise. You would not walk your beat twirling your service revolver, and neither should you walk your beat twirling the baton by its lanyard. The stereotype of the cop walking down the street twirling the baton in fancy movements is inappropriate, and this behavior is universally considered threatening by citizens.

Defensive Tactics

As you learned in the previous unit, the primary objective of defensive tactics is to survive the initial engagement. General blocking and parrying techniques were described and now you should be able to apply those techniques as you learn to use the police short baton.

Blocking

Blocking is a method of stopping a weapon from striking an intended target and inflicting disabling results. The baton is an effective instrument for blocking and can be used in a variety of maneuvers.

Two-handed grip. Hold the baton horizontally with one hand at each end, palms down. When it is held this way, it can be used to block an assault from overhead with fists or weapons, or to block a kick coming up from the ground. In blocking the kick, thrust the baton down forcefully at the shin area. The resulting infliction of pain may give you enough time to counter and control the offender. (See Figure C-4)

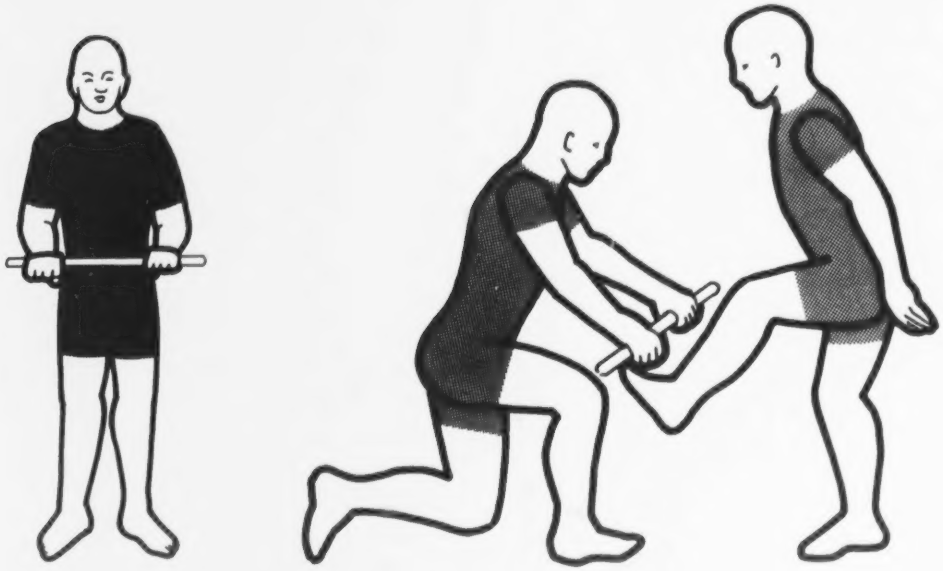

Figure C-4
Two-Handed Grip

One-handed striking blocks. In blocking either an overhead strike or a kicking movement, an alternate method is to strike the assailant on the inside of the arm or leg with the baton. The target can be a wrist, forearm muscle, bicep, shin, side of calf, or knee. Strikes to these areas can inflict pain, or even cause a muscle spasm, and may give you enough time to counterattack and control the subject. (See Figure C-5)

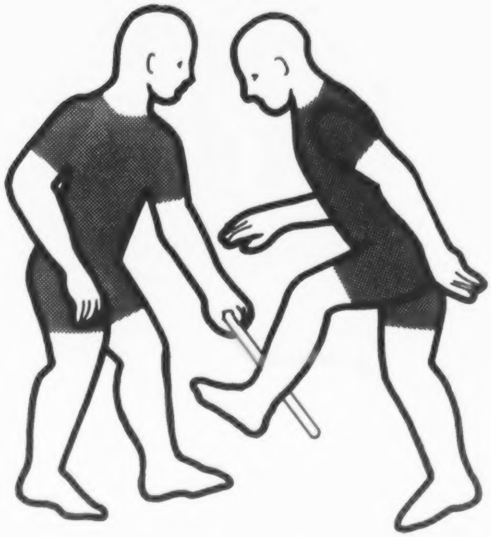

Figure C-5
One-Handed Striking Blocks

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One-armed high block. To block a weapon strike to the top of your head, raise the arm holding the baton so that your bicep is alongside your head and your elbow is bent so that the forearm is across your head. This will provide you with maximum head protection. The baton is held so that the short end extends from the thumb side and the long end extends along your forearm, where it will absorb the impact of the blocked weapon. Keep the baton tight against your forearm by bending the wrist until you can feel the pressure of the baton. Your stance should be a relaxed crouch with one foot forward and knees slightly bent to help absorb some of the impact which will permit a rapid counter-attack. Your fingers will be exposed, and you must be sure to shift the baton so that the fingers do not take the impact. When a tonfa-type baton is used, the fingers will be less exposed. (See Figure C-6)

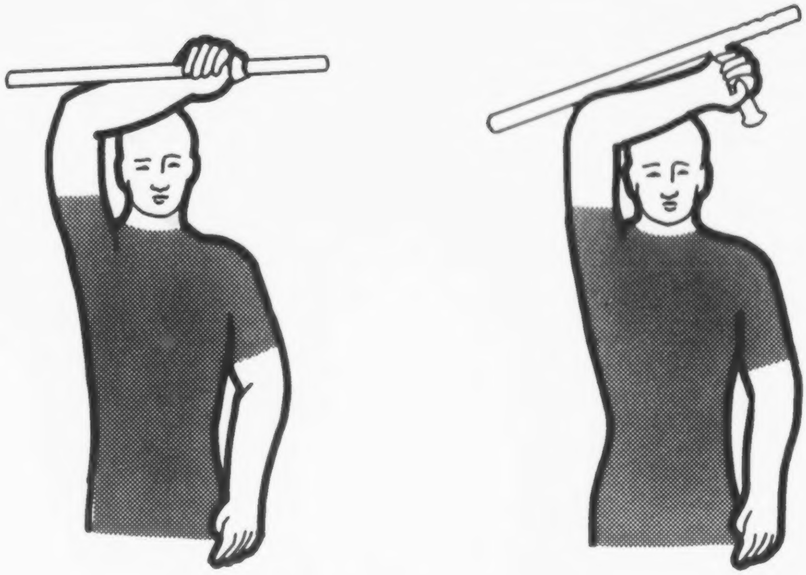

Figure C-6
One-Armed High Block

Parrying

Parrys are used to deflect an incoming blow or thrust with a weapon from its original path and to give you time to react more effectively.

Two-handed grip parry. When the two-handed grip is used on the baton, it is usually held so that the baton is vertical in order to ensure parrying contact. To parry a straight-in attack, a front punch, or a thrust with a weapon, retain a normal grip with your strongest hand, and grab the tip of the baton with the other hand, palms facing in. Holding the baton in a vertical position, pivot and intercept the incoming arm or weapon, guiding it away from your body with the parry. Be prepared to counter immediately once your opponent has been placed off-balance due to the parrying motion. (See Figure C-7)

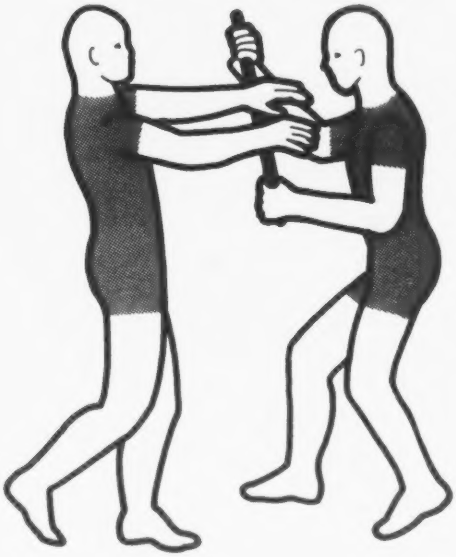

Figure C-7
Two-Handed Grip Parry

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One-armed parry. The baton grip is the same as described in "one-armed high blocks." Your strong hand should hold the baton at the normal grip point, but with the short end extending from the thumb side. The long end of the baton should extend along your forearm and take the impact of the parried weapon. When parrying a straight-in punch or weapon thrust, hold your arm so that the baton is in a vertical position. Pivot so that your rear foot sweeps back in a circular movement and intercept the weapon or arm with the baton while the circular movement is in full momentum. This merely deflects the attack so you must be ready for an immediate counter. (See Figure C-8)

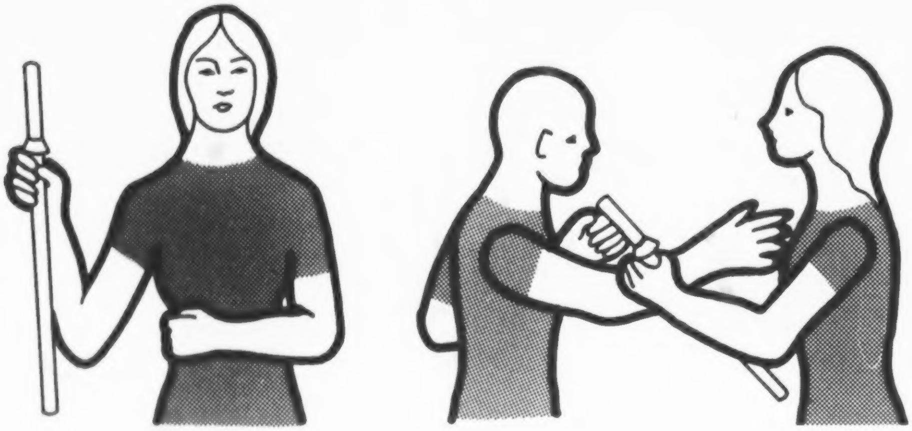

Figure C-8
One-Armed Parry

Other attacks. These basic techniques can be applied to attacks from any direction, and the baton must be held on a plane that intercepts the attacking arm or weapon at a right angle. Blocks and parrys are not effective unless assisted by body movements, kicks, strikes from the opposite hand, a balanced stance, and the use of motion. You must experiment in simulated blocking and parrying situations in order to find your most effective defensive techniques.

Counteroffensive Tactics

The objective of counteroffensive tactics is to gain the initiative following a successful defense. Blocks, parrys, and other defensive tactics merely buy time. Your survival is not insured by such tactics, so a swift counterattack must be used. There are many fighting styles and techniques which provide effective counteroffensive capability.

Through extensive work-outs and simulated contact-fighting sessions, you will find the techniques which are most effective for you. Here are a few of the most useful techniques:

Short jab. If the baton is held with the short end extending from the thumb side of your hand during the defensive action, there is no time to shift it for a counter movement, so thrust with the butt end to the solar plexus or groin of your opponent. The other hand can also be used to make this short jab more forceful. This technique can include a kick to the knee or a leg sweep to put your opponent on the ground. (See Figure C-9)

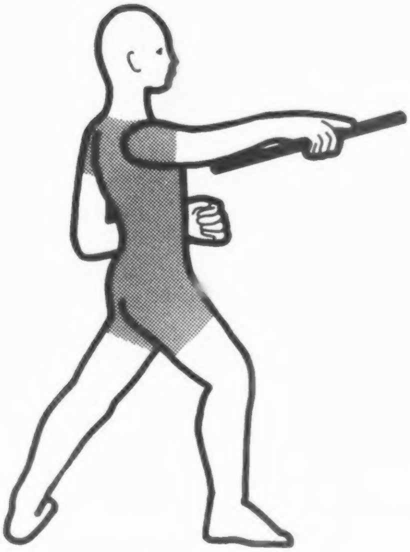

Figure C-9
Short Jab

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Striking counteractions. If the parry or attempted block resulted in a disengagement which gives you time to change your grip on the baton to the conventional striking grip and stance, strike at your opponent's most vulnerable exposed target. Select targets that will incapacitate without causing permanent or fatal injury. The solar plexus, groin, long muscles of the thigh, calves, biceps, hands, wrists, arms, and shins are all vulnerable areas. Keep your counter strikes **low**. Do **not** strike the clavicle or upper area; it is too easy to miss and deliver an unintentional head strike. (See Figure C-10)

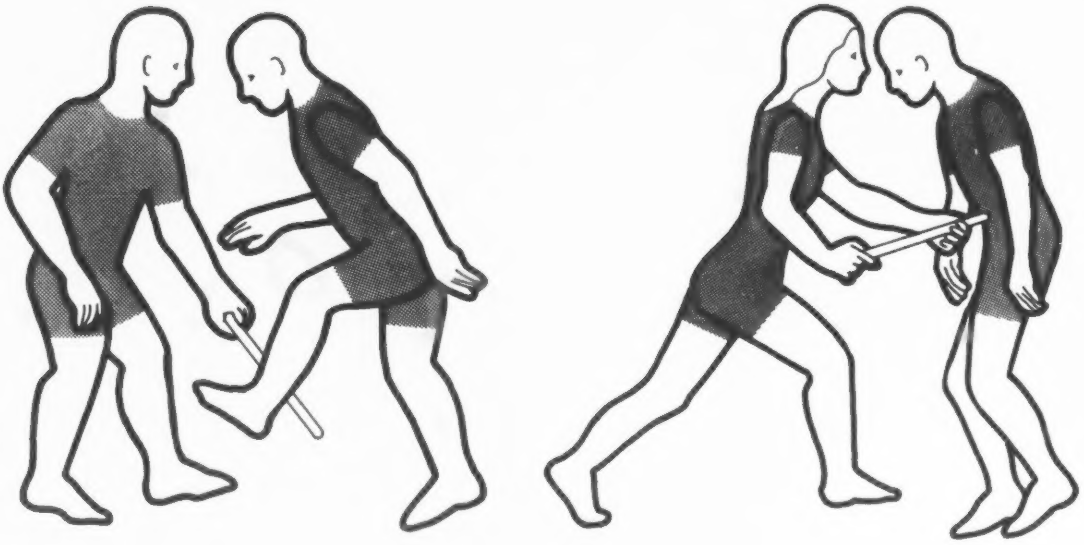

Figure C-10
Striking Counteractions

Long thrust. If there is sufficient distance between you and your opponent after the parry or block, deliver a long thrust to his/her abdomen, solar plexus, or groin. The baton should be gripped with both hands, palms facing, one near the tip, one near the butt. The thrust should be delivered with your full body weight behind a full step-in with the leading leg and foot. This technique is similar to a bayonet or long baton thrust. (See Figure C-11)

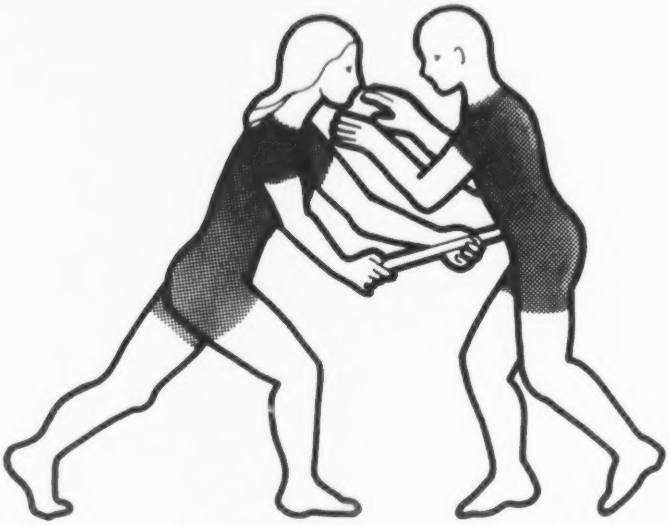

Figure C-11
Long Thrust

Controlling Tactics

The objective of controlling tactics is to end all resistance through total control of the subject. Control is most easily achieved when the offender is face down on the ground where your full body weight can be used against him/her. Other alternatives include placing the subject against the wall or controlling him/her through the use of painful techniques.

Grounding the subject. Grounding can be achieved by a counter-offensive action which inflicts pain with a baton technique, a throw, a leg-sweep, or a knockdown. Once the subject is on the ground, use the baton to apply leverage in an arm lock or wrist lock which should produce the pain needed to achieve the subject's compliance.

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Come-along. If the subject is to be moved to a vehicle, wall, or lock-up, hold the baton in the middle and place it sideways between the subject's legs from the rear. Pull up with the baton, which you should now hold palm down and horizontally in front of and between the legs. Grab the subject's clothing at the back of the collar with your free hand and push the subject while pulling up with the baton hand. The subject should now be off-balance and in some pain. In this position, "walk" him/her to the wall or vehicle. This technique should not be used by a male officer against a female subject. (See Figure C-12)

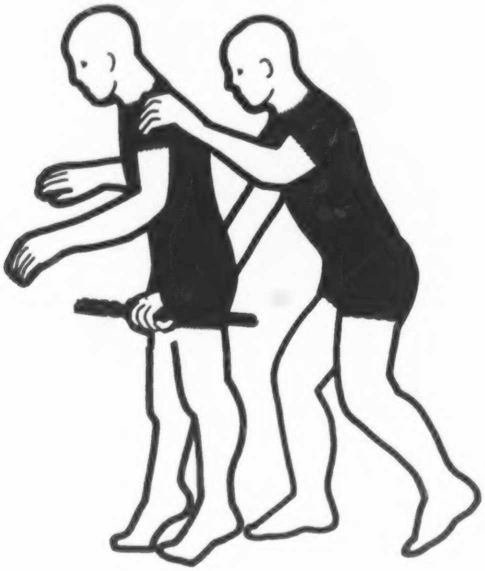

Figure C-12
Come-Along

Baton hammer lock. Use the baton for additional leverage in a conventional hammer lock. Both of the subject's arms will be pinned from behind, while the officer grips the baton with both hands. The baton should be placed across the back of the subject's neck.

Baton arm bars. The baton can be used to increase the leverage of a one-arm lock. While the subject's arm is bent up to the middle of the back, insert the baton under his/her forearm and rest the front of the baton on his/her shoulder. Control results from the painful application of upward leverage with the baton.

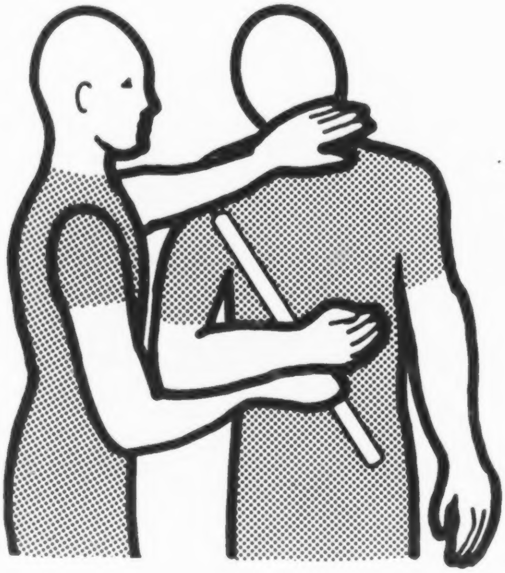

Figure C-13
Baton Arm Bars

Arresting and Searching Tactics

Arresting and searching tactics have already been covered in the law enforcement block of your training and will be reviewed here briefly to illustrate the usefulness of the baton as an aid in search tactics.

Searching/wall position. Once the subject has been brought under control, you must maintain that control in order to prevent further attacks and to make it easier to search for weapons or contraband. To maintain control you must keep the subject off-balance in the wall position. (See Figure C-14) To achieve this, follow these steps:

STEP 1 Order the subject to reach with both hands flat and high up on the wall.

STEP 2 Order the subject to move his/her feet away from the wall while keeping his/her hands flat on the wall.

STEP 3 Order the subject to spread his/her feet as far apart as possible keeping his/her toes pointed outward.

STEP 4 Place the baton tip against the spine or kidney area with enough pressure that the subject is aware of its presence.

STEP 5 Search the subject's left side by placing your foot in between the wall and the subject's left foot with the baton pressed into the left kidney area.

STEP 6 Search the right side by placing the inside of your right foot against the inside of the subject's right ankle with the baton pressed into the right kidney area.

STEP 7 If the subject attempts to move from this position, increase the pressure of the baton.

STEP 8 If that does not stop the subject's movement, then sweep his/her foot back and ground the subject.

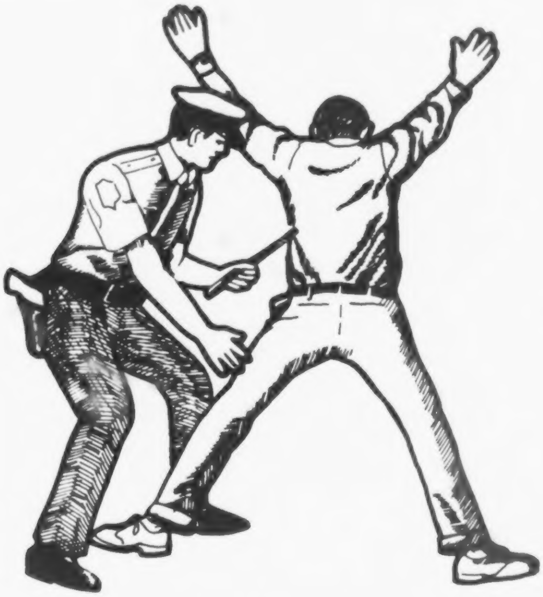

Figure C-14
The Wall Position for Searching and Handcuffing

Handcuffing from the wall position. When the search procedure has been completed and the subject is to be handcuffed, follow these steps:

STEP 1 Order the subject to place his/her head against the wall while keeping his/her right hand flat on the wall, and maintain the pressure of the baton against the subject's spine or kidney area.

STEP 2 Order the subject to put the left hand behind his/her back with the thumb side up.

STEP 3 Put a cuff on the left wrist with thumb up and palm facing outward.

STEP 4 Order the subject to put his/her right hand behind the back with thumb side up leaving only the subject's head against the wall.

STEP 5 Put the other cuff on the right wrist with the thumb up and the backs of the hands together, palms facing out.

STEP 6 Double-lock the cuffs.

STEP 7 Tell the subject to move his/her feet toward the wall, then pull back the subject's shoulders so that s(he) is not fully erect, without allowing the subject's head to rest on the wall.

STEP 8 Hold the cuffs by the chain between the wrists, pulling back just enough to keep the subject off-balance.

STEP 9 Move the subject to the vehicle in this unbalanced position.

Summary

The **police short baton** is a **nondeadly** weapon intervention which is used to control unlawful, violent behavior after persuasion and the unarmed use of force have failed. The baton is an inappropriate weapon for countering **deadly force** and should **never** be used on the head or neck. There are three basic types of batons: the **traditional,** the **tonfa**, and the **nunchaku. Combative tactics** in which the baton can be used include **defensive, counteroffensive, controlling**, **arresting** and **searching** tactics.

The baton may be used defensively in **blocking** and **parrying**. The two-handed grip, one-handed striking block, and one-armed high block are basic techniques which utilize the baton defensively. **Counteroffensive** tactics include short jabs, striking counteractions, and long thrusts. After a successful counteroffensive, the baton can be used to assist with controlling tactics by forcing the subject into painful positions with the come-along, baton hammer lock, or the baton arm bar techniques. Once controlled, the subject may be searched and handcuffed from either a **grounded** or **wall position**. The baton is used to maintain control during the **search** and **handcuffing procedure.**

Now complete the review questions beginning on the next page.

Review Questions (V: C)

Write your answers on a separate sheet of paper.

1. List **three** advantages of the light (1' x 24") baton over the heavier batons.

2. List **three** advantages of the tonfa-type baton.

3. List **two** ways in which the use of the baton is considered "deadly force."

4. Match the Techniques in column 1 with the Combative Tactics in column 2. List the letters **a-k** on your paper. Then write the Tactic numbers next to the letters for the Techniques.

   Technique

   a. long thrust
   b. baton arm bars
   c. offender with head against wall
   d. blocking
   e. come-along
   f. short jab
   g. parrying
   h. baton hammer lock
   i. offender with both hands high on wall
   j. striking counteractions
   k. grounding

   Combative Tactic

   1. defensive
   2. counteroffensive
   3. controlling
   4. arresting and handcuffing
   5. searching

5. The steps for searching an offender in the wall position are listed below. Write the letters **a-k** on your paper. Then arrange the steps in sequential order by writing **1** by the letter for the first step, **2** by the letter for the second step, and so on.

   a. Place baton tip at spine or left kidney area.
   b. Place baton tip at spine or right kidney area.
   c. Increase baton pressure if the subject attempts to move.
   d. Move subject's feet back from wall.
   e. Place your left foot between wall and subject's left foot.
   f. Place your right foot against inside of subject's right ankle.
   g. Sweep foot back and ground subject if necessary.
   h. Have subject place hands flat on wall.
   i. Have subject spread feet with toes pointed out.
   j. Search subject's left side.
   k. Search subject's right side.

6. Correct handcuffing technique requires that: (Choose **all** correct answers.)

   a. offender's hands are to the back.
   b. hands are back-to-back with thumbs up.
   c. offender is kept off-balance.
   d. handcuffs are double-locked.

Check your answers with the correct ones provided in the answer key.

Practical Exercises (V: C)

1. Following directions given in the text and by your instructor for using the baton, practice **blocking** and **parrying** (**defensive** tactics) in simulated situations until you have developed effective techniques. You should be able to block and parry attacks coming from any direction.

2. Following directions given in the text and by your instructor for using the baton, practice **counteroffensive** tactics in simulated contact-fighting sessions until you have developed effective techniques. Practice using the short jab, striking counteraction, and long thrust until you can gain the advantage over your opponent in simulated situations using each of these techniques.

3. Following directions given in your text and by your instructor for using the baton, practice **controlling** tactics in simulated contact-fighting sessions until you have developed effective techniques. Practice using the baton in grounding your opponent, in the come-along, the baton hammer lock, and the baton arm bars techniques.

4. Following directions given in your text and by your instructor for using the baton, practice **arresting** and **searching** tactics in simulated **wall-position** situations. Practice using the baton to assist in searching and handcuffing a subject in the wall position.

If you feel confident that you have achieved the performance objectives for this unit, ask your instructor for the posttest (V: C).

Unit D: Riot Response Tactics

Ask your instructor for the pretest for this unit (V: D). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

Introduction

The mass behavior which occurs during a riot will usually lead to an overload of the three subsystems of the criminal justice system. Mobilization planning will enable the criminal justice personnel, particularly the law enforcement officers, to maintain control, prevent escalation of the situation, and restore law and order. Operational policies should be well thought-out and fully documented. Law enforcement personnel must exhibit riot control readiness, not only in their physical preparation but also in their mental preparedness. Mastering the roles of squad member and leader in each of the readiness routines and riot control formations is essential.

Objectives

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Identify the objectives of mobilization planning.
2. Identify the topics which must be documented in a typical operational policy.
3. Describe the structure of riot control groups.
4. Describe the tactics necessary to achieve riot control.
5. Describe three weapon positions.
6. Describe five riot control formations.

Performance Objectives

Given a role as a squad member and/or a squad leader in drills, demonstrate proficiency by giving a sharp and coordinated performance of each of the readiness routines listed below.

Readiness Routines

1. Forming up

   falling in
   dress
   facing

2. Weapon positions

   safe port
   short guard
   on guard

3. Riot control formations

   line formation
   right echelon
   left echelon
   platoon wedge

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Mobilization Planning

As a result of the mass criminal behavior which occurs during riots, all subsystems of the criminal justice system must be prepared to process a number of clients far in excess of normal conditions. The police must make mass arrests and prepare the evidence, the state attorney's office must prosecute them, the court must try them, and corrections must house them. The overload on all of these subsystems can be overwhelming.

In this unit, mobilization planning by the law enforcement component will be outlined briefly.

Phases of Emergency Mobilization

Phase 1—**initial incident**
Phase 2—**standby alert**
Phase 3—**emergency alert**
Phase 4—**full mobilization**
Phase 5—**restoration of order**

Specific plans must be made well beforehand for responding to each of these phases.

Objectives of Mobilization Plans

- **Maintaining control** of any riot or potential riot is the principal objective of mobilization planning. Control is accomplished through the organization, assignment, and direction of personnel and equipment in order to provide an effective response to mass behavior.

- **Preventing escalation** of a riot situation means that plans must be activated as soon as an incident occurs. It is imperative that the police seize the initiative swiftly, arresting as many violators as possible.

- **Restoring law and order** must be accomplished by using lawful measures quickly and impartially.

In order to obtain these objectives, the following procedures should be adhered to:

1. React as quickly as possible to restore order using whatever force and strength is allowed under the law.

2. Establish immediate control in all sections of the involved area.

3. Remain in the affected area with a sufficient police force once order has been restored in order to convince all concerned that additional outbreaks will not be tolerated.

4. Prepare for the prosecution of all arrested persons.

Operational Policies

Operational policies must be fully documented. The following outline is a typical operational format for the law enforcement subsystem.

The **tactical plan** consists of directives and guidelines for a mobile force of **squad units** which is constantly available for immediate deployment by the field or post commander. In order to remain available to handle any disturbance, segments of the **mobile task force** must be able to deal with a problem immediately before it escalates. The plan must document operational policy for each of the following topics:

- functions of the mobile task forces
- patrolling procedures
- enforcement policies
- use of chemical agents
- dispersal orders (invoking riot control statutes, Chapter 870.4, Florida Statutes)

Riot Control Readiness

Law enforcement personnel must present a united and disciplined front to rioters to be effective. This cannot be accomplished haphazardly; the mobilization routine must be well rehearsed and automatic. The following sections describe how to achieve the level of readiness which is essential to successful riot control.

Preparation

A mobile force of squad units should be available to the field commander. A **squad** is usually composed of **one squad leader** and **seven officers.** They can be deployed in two sedan-type vehicles or on foot. They can also be formed into a **platoon** of **two or more squads** according to the strength required.

Prior to moving personnel into an affected area, the commander will, if possible, **secure roof tops or other high ground areas** to protect troops from sniper fire, or thrown objects, and to provide observation posts.

The riot control personnel should be formed up at a point **near the scene** of the disturbance but **out of sight** of the rioting mob. No attempt should be made against the mob until sufficient personnel are on hand to make the action meaningful. The mob's first view of the police should show them a uniformed and fully-equipped body of professionals, marching in a disciplined military formation and in full control of themselves physically, mentally, and emotionally.

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Forming Up

To gain and maintain physical, mental, and emotional control, you should practice the following routines until they are mastered precisely. Preparatory commands should be given in a normal voice. Execution commands (which are shown in bold print) should be given in a loud, snappy voice.

- **Falling In.** Upon the command of "fall in" by the platoon leader, the squad leaders will take their posts. Each squad member will fall into a line to the left of the squad leader, take the proper interval of one arm's length, dress to the right with a glance toward the squad leader, and toe a line with the person to the right. When interval and dress have been established, drop arm, face forward, and assume the position of attention.

  Execution Command: **Fall in**

- **Dress.** If the platoon leader is not satisfied with the interval and dress, s(he) may order it corrected with the following commands:

  Preparatory Command: Dress right

  Execution Command: **Dress**

  On the execution command, all members should stretch out their left arms at shoulder height and snap their heads to the right, shift position to proper interval and dress, and hold the position. The platoon leader will confirm interval and dress, then order:

  Preparatory Command: Ready

  Execution Command: **Front**

  On the command "Front," all hands drop, faces snap to front, and the position of attention is assumed. The platoon is now in line formation facing the platoon leader.

- **Facing Orders.** If the platoon is to be formed into a column, the following order is given to the platoon, which now should be lined up and at attention:

  Preparatory Command: Right

  Execution Command: **Face**

  On the command "Face," all members pivot on right heel and left toe 90 degrees to the right, bringing up the left foot smartly in line with the right foot.

  The platoon should now be in a column. It is from the column that the tactical riot formations are executed. Your instructor may include other facings and movements, but those given here are the most essential to riot control formations.

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Weapon Positions

- **Safe Port.** The safe-port position is used because of the high visibility of weapons and to provide additional safety whenever there is a round of ammunition in the chamber and the safety is off.

  Position: Long baton, rifle, carbine, or shotgun should be held with the butt in the sternum (shoulder or breastbone) secured with right hand; left arm is extended, holding the weapon upward at 45 degrees. While in close contact with the riot mob, troops move into position and assemble with weapons in the safe-port position. Normally, this is executed from the position of standard "port arms" but it can also be executed from any position.

  Preparatory Command: Safe port

  Execution Command: **Move**

- **Short Guard.** The short-guard position is one of semi-readiness. It is less tiring than the on-guard position and should be used to rest troops when circumstances permit.

  Position: The right hand grasps the butt of the long baton or the small of the rifle stock (carbine, or shotgun), which is positioned so that the right hand is on the trouser seam. The left arm should be extended with the tip of the weapon raised to eye level.

  Example: As the squads advance, the short-guard position should be maintained until just before contact is made or when resistance is expected. Troops should then be ordered to assume the on-guard position. The short-guard position can also be used when troops are advancing against a crowd that is withdrawing without resistance.

  Preparatory Command: Short guard

  Execution Command: **Move**

- **On Guard.** On guard is a position of complete readiness and should be used whenever squads are in contact with a group which is showing any kind of resistance.

  Position: The right hand holds the butt of the weapon on front of right hip joint; left arm is extended holding weapon up to eye level. Use the "stomp-drag" step with the on-guard position. Since this is a tiring position to maintain for extended periods of time, platoon commanders should rest officers at every opportunity by using other positions.

  Preparatory Command: On guard

  Execution Command: **Move**

Riot Control Formations

Riot control formations are usually assumed from a platoon column. A squad leader will **lead** his squad from the platoon column into the position of deployment, following the command of execution given by the platoon leader. The squad leader will then work behind his squad once the formation is established.

- **Movement from Platoon Column.** When the squad leader moves his men from the column, the command is "follow me," and the maneuver is done in double time. Once the formation is established, the squad leader works in a line-backing position.

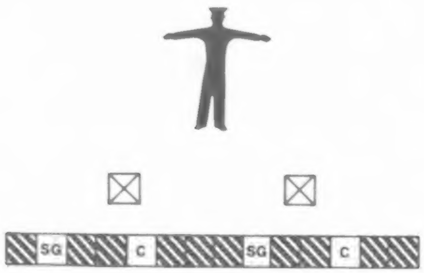
  Execution Command: **Follow Me**

- **Line Formation.** When the platoon commander gives the command, "Line formation—move," the squad leaders order, "Follow me," and the first squad double-times to the left; second squad, to the right. If there are more than two squads, the remaining squads extend the line to the right. See Figure D-1 below for individual squad formation.

  Preparatory Command: Line formation

  Execution Command: **Move**

  Arm Signals: Outstretched arms at shoulder height, horizontal to ground.



Code:

☒ Squad Leader

SG Officer with shotgun

C Officer with carbine

▧ Officer without special weapons

Figure D-1
Line Formation

- **Right Echelon.** When the platoon commander gives the command, "Right echelon—move," and indicates the position for the point of the echelon, the first squad leader orders "follow me" and double-times his squad to the left diagonal, establishes the echelon, and falls to the rear of his squad. The second squad leader does the same, extending the echelon line on the same plane established by the first squad.

  The echelon is usually used to sweep a street clear of rioters, with the point of the echelon close to the store fronts being "trashed" by rioters. Figure D-2 below illustrates the right echelon formation.

  Preparatory Command: Right echelon

  Execution Command: **Move**

  Arm Signal: Right arm held higher and left arm lower

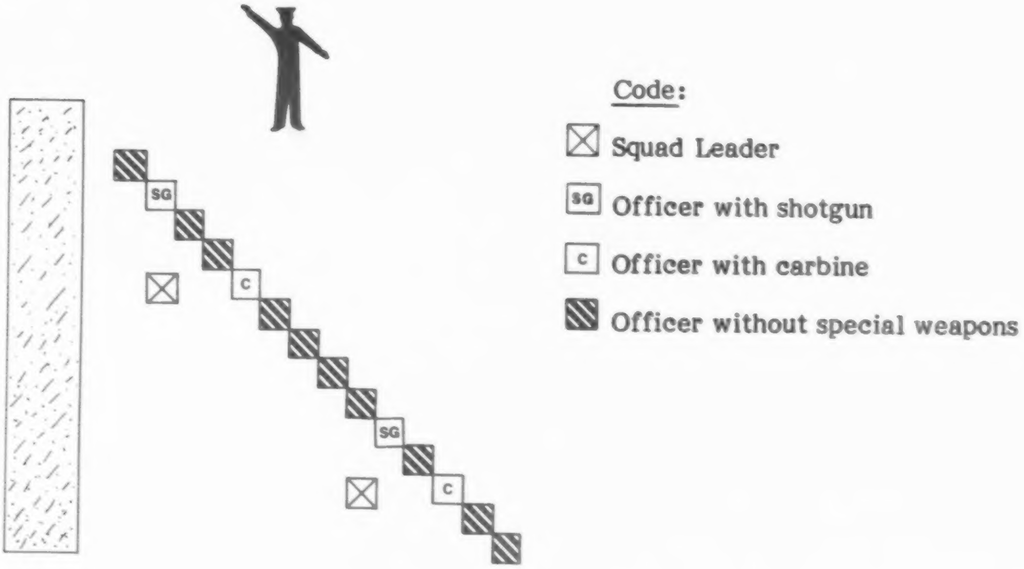

SG
C
SG
C
Code:
☒ Squad Leader
SG Officer with shotgun
C Officer with carbine
▨ Officer without special weapons

Figure D-2
Right Echelon

- **Left Echelon.** A left echelon is formed in the same manner as a right echelon but on the opposite side of the street, with the point of the echelon nearest to the rioters. Figure D-3 illustrates the left echelon formation.

Preparatory Command: Left echelon

Execution Command: **Move**

Arm Signal: Left arm held higher and right arm lower

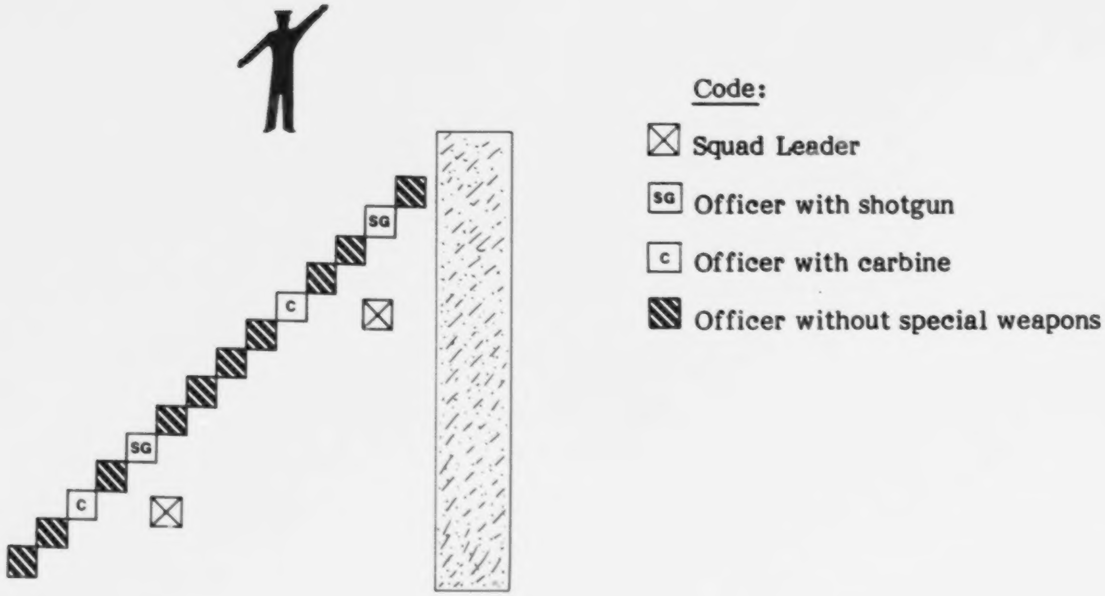

Code:
☒ Squad Leader
SG Officer with shotgun
C Officer with carbine
▧ Officer without special weapons
SG
C
SG
C

Figure D-3
Left Echelon

- **Platoon Wedge.** When the platoon commander gives the command, "Platoon wedge—move," the first squad leader orders "follow me" and leads his squad to form the left half of the wedge. The second squad leader does the same and leads his squad to form the right half of the wedge. The result is a V-shaped formation with the point toward the mob of rioters.

  This formation is used for penetrating the mob to break it into two smaller groups or to rescue some person(s) within the mob. The platoon wedge is illustrated in Figure D-4.

  Preparatory Command: Platoon Wedge

  Execution Command: **Move**

  Arm Signal: Both arms raised over shoulders at a 45-degree angle

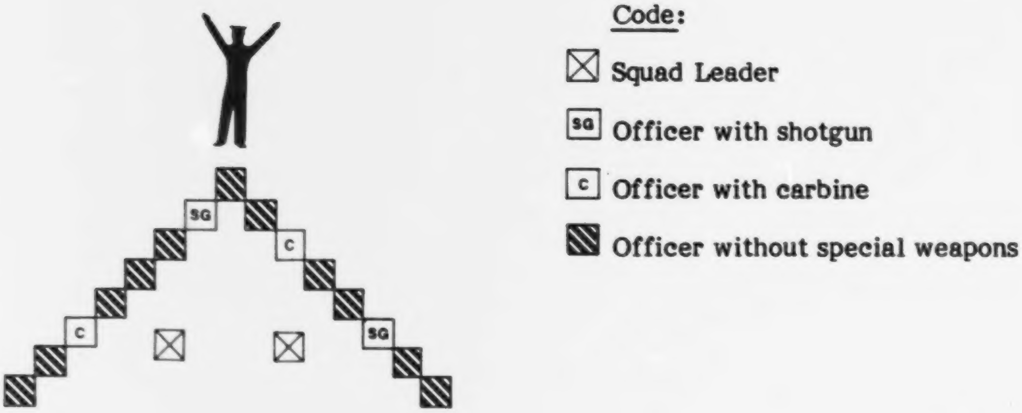


Figure D-4
Platoon Wedge

Summary

During a riot, individuals often engage in violent behavior which they would not normally attempt. Arson, looting, and physical attacks upon civilians and law enforcement personnel may occur. In addition, the large volume of persons who must be arrested and processed during a short span of time may cause the subsystems of the criminal justice system to become overloaded very quickly. The first subsystem to experience this is, of course, the law enforcement branch, whose foremost consideration must be to **maintain control** of the situation, to **prevent escalation** of mob behavior, and to **restore law and order** to the affected areas. To obtain these objectives, law enforcement personnel must be thoroughly prepared. All **operational policies** must be discussed and **documented** in advance, if this is possible. Law enforcement personnel must be completely familiar with the **readiness routines** of falling in, dress, and facing orders as well as the **weapon positions** which are a part of the readiness routines (safe port, short guard, and on guard). Personnel must be able to march and assemble in a disciplined military formation. They must be in full control of themselves, physically, mentally, and emotionally. Learning to perform as either a squad member or leader in each of the **riot control formations**, including movement from platoon column, line formation, right echelon, left echelon, and platoon wedge, will enable the assigned officers to function quickly and effectively in quelling a riot or any other potentially explosive situation.

Now complete the review questions beginning on the next page.

Review Questions (V: D)

Write your answers on a separate sheet of paper.

1. List the objectives of mobilization planning.

2. Operational policy which must be documented in a typical mobilization plan includes: (Choose **all** correct answers.)

   a. patrolling procedures.
   b. use of chemical agents.
   c. enforcement policies.
   d. dispersal orders.

3. Riot control readiness includes all of the following **except**:

   a. weapon positions.
   b. preparation.
   c. line formation.
   d. forming up.

4. On the command "Right-face," squad members should do the following:

   a. pivot on right heel and left toe 180 degrees
   b. pivot on right heel and left toe 90 degrees to right
   c. pivot on left heel and right toe 90 degrees to right
   d. none of the above

5. The basic grouping unit for riot control deployment is the:

   a. squad unit.
   b. platoon unit.
   c. company unit.
   d. task force unit.

6. A squad usually consists of:

   a. one squad leader and fourteen officers.
   b. one platoon leader, one squad leader, and seven officers.
   c. two squad leaders and ten officers.
   d. one squad leader and seven officers.

7. Which weapon position are you using when you grasp the butt of your weapon with your right hand at the level of your trouser seam?

   a. on guard
   b. short guard
   c. safe port
   d. port arms

8. Which weapon position provides high visibility of weapons?

   a. on guard
   b. short guard
   c. safe port
   d. port arms

9. Match the arm signals in column B and the voice commands in column A in the following lists. List the letters **a–d** on your paper, then write the number from column B by the letter for the voice command in column A.

Column A—Voice Commands	**Column B—Arm Signals**
a. "line formation—**move**"	1. right arm held higher and left arm lower
b. "right echelon—**move**"	2. both arms raised over shoulder at 45-degree angle
c. "left echelon—**move**"	3. outstretched arms at shoulder height, horizontal to ground
d. "platoon wedge—**move**"	4. left arm held higher and right arm lower

10. Which formation is used to sweep a street clear of rioters?

    a. wedge
    b. echelon
    c. line
    d. circle

11. Which formation is used for penetrating a mob to break it into two smaller groups?

    a. wedge
    b. right echelon
    c. left echelon
    d. line

12. Riot control formations are usually deployed from:

    a. a squad unit.
    b. on guard position.
    c. a platoon column.
    d. a platoon wedge.

Check your answers with the correct ones provided in the answer key.

1. Study the listed routines until you are familiar with the formations, commands, positions, and movements which will be required when you practice both as a squad member and as a squad leader.

2. When you are familiar with the information given about each of the listed routines, your instructor will make squad assignments so that each routine can be practiced until it is precise and coordinated. You will practice as both a squad member and a squad leader.

3. Readiness routines:

   a. Forming up:

      falling in
      dress
      facing

   b. Weapon positions:

      safe port
      short guard
      on guard

   c. Riot control formations:

      line formation
      right echelon
      left echelon
      platoon wedge

If you feel confident that you have achieved the performance objectives for this unit, ask your instructor for the posttest (V: D).

Block V: Proficiency Skills
Unit E: Basic Police Weapons

Ask your instructor for the pretest for this unit (V: E). After you complete the pretest, your instructor will let you know whether to study this unit, to skip some part of it, or to take the posttest.

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To counter group criminal activity, the police have become more militarized. At first, this military organization was in the form of small combat-type units such as SWAT teams, hostage rescue teams, or antiterrorist teams. Today, most urban police departments are forming one or more all-purpose special response platoons. These platoons are being provided with more shoulder weapons, special weapons to combat a variety of group criminal activities, and improved rescue training and equipment.

In Unit C, you learned to use the police short baton for armed intervention with nondeadly force. In this unit, you will learn about the most commonly used chemical weapons, the service revolver and police shotgun, and some of the special weapons now being adopted by police departments throughout the United States.

Objectives

Knowledge Objectives

Upon completion of this unit, you should be able to do the following on a written test:

1. Identify the two basic chemical agents used by police.
2. Describe four ways in which chemical agents are dispersed.
3. Identify four methods of launching chemical agents.
4. Identify at least four safety rules for handling firearms.
5. Identify the parts of the service revolver.
6. Identify at least two safety features of the modern revolver.
7. Describe the parts of a cartridge.
8. Identify the parts of the police shotgun.
9. Describe the components of a 12-gauge shell.
10. Describe the performance of the three most commonly used shot sizes.
11. List the advantages and disadvantages of the shotgun as a police weapon.
12. Describe three types of "special weapons" in the police arsenal.

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Chemical Weapons

Formulation

The chemical weapons most commonly used by police are tear gas (CN) and irritant agent (CS). Each has individual characteristics which must be considered before they are employed in tactical situations. A brief description of these chemical agents is outlined below.

CN Agent

Chloroacetophenone (CN) is the most common agent used by police because it usually produces control without harmful side effects. CN produces a characteristic apple blossom odor and is released as a cloud of fine particles. It can also be dissolved in a solvent and released as a liquid aerosol. CN irritates the upper respiratory passages and eyes causing a heavy flow of tears. It also produces a burning, itching sensation on moist tissues of the body and it may cause nausea and vomiting in some people.

CS Agent

The effects of Orthochlorbenzalmalononitrile (CS) closely resemble those of CN but are more severe. Heavy concentrations of CS produce nausea, vomiting, psychological depression, and may require extended recovery periods.

Tactical Situations

CN and CS are used by police against persons engaging in violent activity so that they can be apprehended without using direct force. CN and CS are most commonly used in the following tactical situations:

- riot control and mob dispersion
- situations where violent persons barricade themselves during the commission of crimes such as sniping, hostage holding, etc.
- prison or other institutional violence or riots
- by an individual officer as an alternative to deadly force

Dissemination

In order to produce the desired behavior, the chemical agent must be delivered to the target area and disseminated in sufficient quantity. For **dissemination**, the chemicals may be in:

- **solid form** as a granulated agent combined with a pyrotechnic mixture, or
- **liquid form** with the agent suspended in a solvent.

Ways of **dispersing** the chemicals include the following:

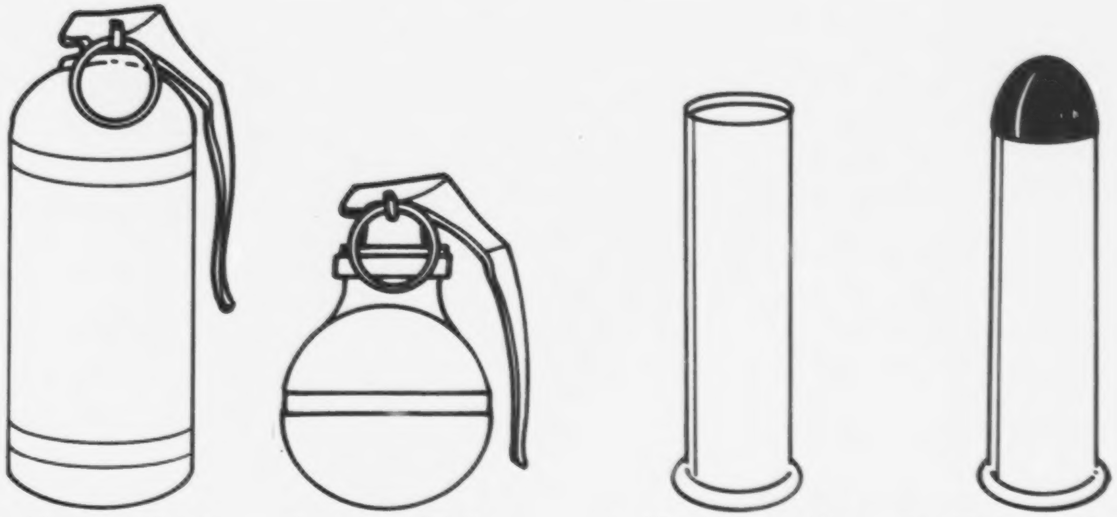
- **expulsion**—the use of an explosive or other force to eject the micro-pulverized agent
- **pyrotechnic**—the burning of the granulated agent and a pyrotechnic mix to vaporize the agent and release it as an aerosol cloud
- **fog**—the use of hot gases to vaporize a liquid agent which is released as a fog cloud
- **liquid**—the use of an expelling force to project a liquid chemical agent towards a desired target.

Launching Methods

Both CN and CS can be delivered to the target by several methods, depending upon the range required. Launching methods can include the following:

- **hand-thrown grenades**—available in CN, CS, and smoke in blast-dispersion or continuous-discharge grenades
- **shotgun launchers**—launchers and cartridges are available for use with the 12-gauge shotgun to propel a variety of grenades
- **shoulder and handgun launchers**—available in 37mm size with a variety of 37mm projectiles
- **tear-smoke generator**—to deliver a fog cloud of CS or CN agent.

Figure E-1 illustrates types of grenades, projectiles and launchers which are used to deliver CN and CS. In Figure E-1, picture A is a standard hand grenade which is available in CS, CN, or smoke as a blast-dispersion or continuous-discharge grenade; picture B is a rubber ball type grenade; picture C is a 37mm projectile which can be fired from a hand or shoulder 37mm gun; and picture D is a 37mm projectile with a rubber bullet. Figure E-2 illustrates a 37mm hand launcher which is also available as a shoulder launcher.



A. Standard Hand Grenade

B. Rubber Ball Grenade

C. 37mm Projectile

D. 37mm Projectile with Rubber Bullet

Figure E-1
Chemical Grenades and Projectiles

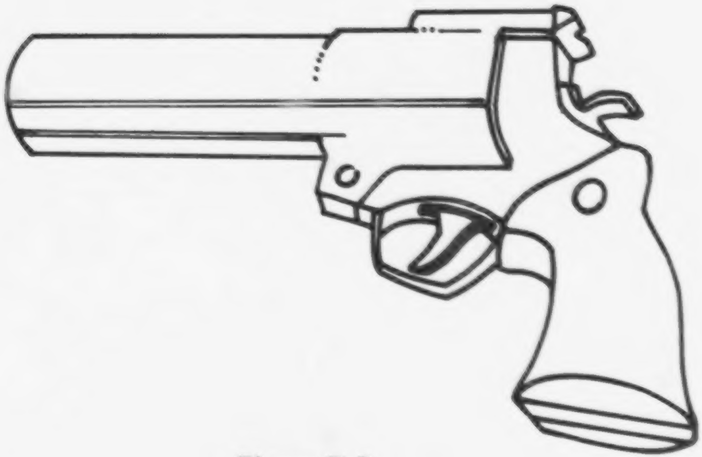


Figure E-2
Chemical Hand Launcher

Safety

Following all safety rules while handling firearms is important for the protection of your life and others. When handling firearms there is no room for error in determining whether a firearm is loaded or not.

Safety rules which should be observed when handling firearms:

1. **All** guns should be handled as though they were loaded.
2. When a firearm is picked up, open the cylinder or action **immediately** to see if it is unloaded—and **then check it again.**
3. A firearm should be given to or accepted by another person **only** when the cylinder or action is open.
4. **Before loading,** always check to be sure there is no obstruction in the barrel of a firearm.
5. A loaded gun should **never** be left where children or untrained persons have access to it.
6. Practice drawing and firing **only** on the firing range and keep the firearm pointed downrange at all times.
7. Firearms should **only** be pointed at a person you are justified in killing.
8. When using a weapon in service, **never** cock the hammer back.

Modern revolvers have a number of built-in safety features to further increase safety. These include the following:

- a block which is automatically inserted between the hammer and cartridge, except when the trigger is to the rear (This prevents firing if the hammer is struck or slips during manual cocking.)
- a double-action trigger pull which is strong enough to reduce the chances of accidental firing
- a hammer which must be fully cocked for single-action firing

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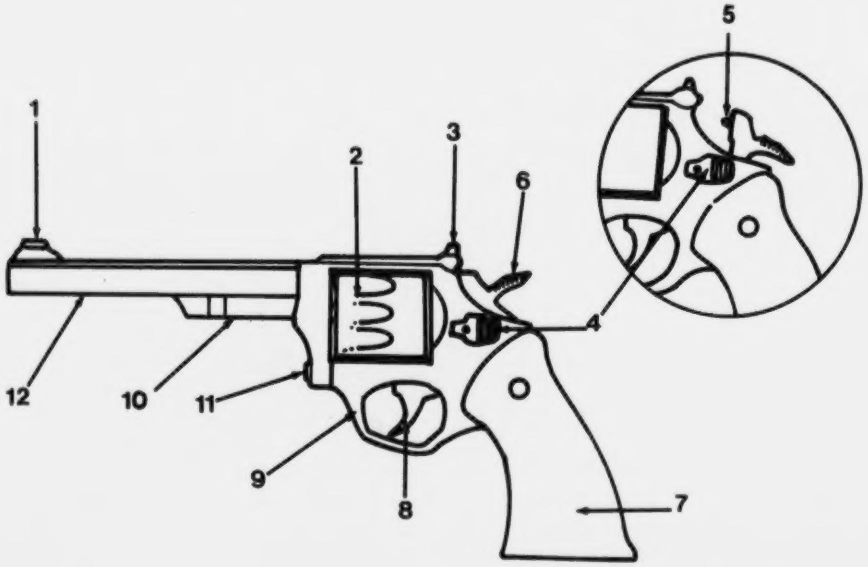
Functioning and Nomenclature

Knowing the basic parts of firearms that you use as well as understanding their mechanical operation is very important. By knowing the parts and their function in the operation of the weapon, you will be alert to unsafe conditions and potential malfunctions. The following diagram illustrates the parts which you should learn. (See Figure E-3)



1. Front sight
2. Cylinder
3. Rear sight
4. Cylinder latch
5. Firing pin
6. Hammer
7. Stock
8. Trigger
9. Trigger guard
10. Ejector rod
11. Crane
12. Barrel

Figure E-3
The Service Revolver

The most popular sidearms in American police service are the Colt and the Smith & Wesson double-action revolvers. Experience has demonstrated that the revolver is less likely to malfunction than an automatic weapon. If time permits, the revolver can be fired by pulling the hammer back to the fully-cocked position and squeezing the trigger. If speed is required, the revolver is capable of double-action firing. The hammer rises and falls through trigger action alone. In either case, the cylinder, which holds six rounds of ammunition, rotates as the hammer is raised and the cartridge is placed in alignment with the barrel for firing. The barrel of the service revolver has spiral grooves or rifling which stabilizes the flight of the projectile.

To load or reload the revolver, swing the cylinder out by placing the weapon in the palm of the left hand and releasing the cylinder latch with the right thumb. Do **not** flip the cylinder out using wrist action; it is preferable to press the cylinder out of the frame with the fingers of the left hand. Eject the spent cartridges by pushing back on the ejector rod with the left thumb. Load the cartridges into the cylinder and press the cylinder into place. Again, do **not** flip it into place. Try to turn the cylinder to be sure it has clicked into its proper alignment.

Care and Cleaning

Your firearm must receive proper care, cleaning, and repair if it is to give you dependable service. Some important points to remember are:

- The revolver should never be used as a club or tool.
- The cylinder should never be flipped open or closed.
- You should never attempt to repair internal parts; take the gun to a gunsmith.
- Wipe the external surfaces of the gun after handling.
- The gun should be handled with care; never drop it or throw it around.

Ammunition

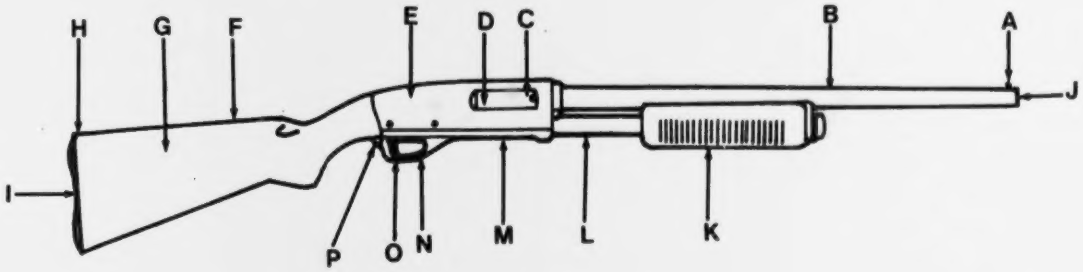
The best all-round ammunition for the police service revolver is the .38 special cartridge. It has a bullet of 158 grains and develops a muzzle velocity of 855 feet per second. The cartridge is composed of the following parts:

- **case:** a brass or steel cylinder, closed at one end. The rim helps position it in the chamber.
- **primer:** this contains a very sensitive explosive. When struck by the firing pin, it disintegrates and ignites the charge.
- **powder charge:** burns rapidly when ignited by the primer, generating the propelling force of gas.
- **bullet:** the lead projectile is propelled through a rifled barrel which causes it to spin and stabilizes its flight.
- **a round:** one complete cartridge ready for firing.
- **caliber:** the diameter of the bore of a gun expressed in hundredths of an inch. Example: a .38 caliber revolver has a bore with a diameter of 38-hundredths of an inch.
- **muzzle velocity:** the speed of a projectile as it leaves the muzzle of a gun, expressed in feet per second.
- **bullet weight:** usually expressed in the avoirdupois system. The unit of weight is the grain. There are 437.5 grains to an ounce in this system.

The Police Shotgun

The shotgun is a very versatile and effective weapon and commands great psychological respect because of its effective firepower. Precise aiming is not required at close range, and once it is loaded with shot, it will literally spray an area. When it is loaded with a rifled slug, it can penetrate and stop a person at ranges of up to 100 yards. Because of its effectiveness as a weapon, an officer must be well trained in its use since it can be dangerous when misused.

Shotguns which are used in police service may be semi-automatic, double-barrelled, or pump-action weapons. The most basic weapon has a pump (or slide) action. (See Figure E-4)



A. Front sight
B. Barrel
C. Ejection port
D. Breech block (inside)
E. Receiver
F. Comb
G. Stock
H. Heel
I. Butt plate
J. Muzzle
K. Fore-end (Slide)
L. Magazine
M. Magazine loading Port
N. Trigger guard
O. Trigger
P. Safety

Figure E-4
The Police Shotgun

Nomenclature and Functioning

As with the service revolver, it is important for you to understand the basic parts as well as the mechanical operation of the shotgun. The diagram shown above illustrates the parts which you should learn.

Type. Slide or pump action, 12-gauge, 20-inch barrel.

Action. Six shells can be loaded through a loading port on the bottom and into the magazine under the barrel. Moving the slide to the rear opens the action, extracts a fired shell and ejects it, and cocks the hammer. Moving the slide forward will result in chambering a loaded shell and closing the action, leaving the weapon ready to fire. The safety, which is usually located on the trigger guard, must be released in order to fire the shotgun.

The Stock. Stocks are usually made of walnut. The distance from trigger to butt is usually 14 inches. The drop at the heel is two and one-half inches, and the drop at the comb is one and one-half inches. "Drop" is the distance from the imaginary rear extension of the barrel to the comb or heel.

The Barrel. The shotgun has a smooth bore. It does not have the spiral grooves (rifling) which are found in the barrels of rifles and pistols. Police shotguns usually have a 20-inch barrel compared to the 26- to 30-inch barrels of the sporting models.

Bore Size. Most police weapons are 12-gauge (about .72 of an inch).

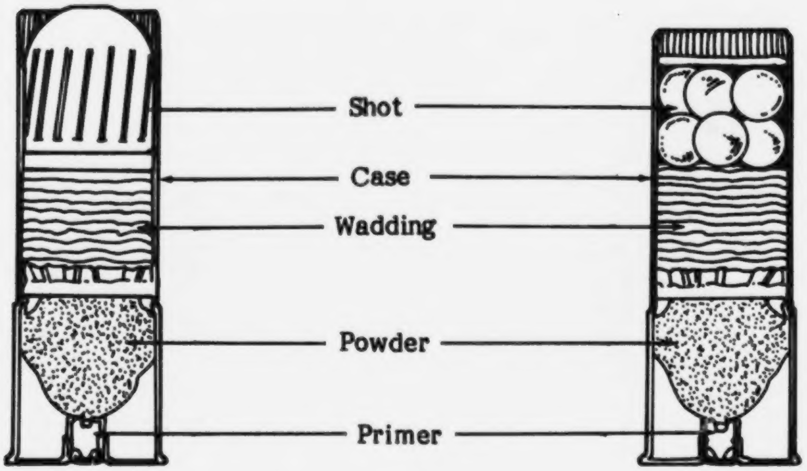
Choke. Choke is the amount of constriction or narrowing near the muzzle. In sporting guns, full choke is used to deliver the shot pattern in a tight group for greater range. Less constriction, as in modified or improved cylinder chokes, will widen the shot pattern and shorten the range. Police weapons are "open" or straight tubes without choke.

Ammunition

The standard 12-gauge shell is two and three-fourths inches long and holds from one to one and five-eighths ounces of shot. The most common sizes are the rifled slug, No. 00 buckshot, and No. 4 buckshot.

Components. Components of a 12-gauge shell are listed below. A rifled slug and No. 00 buck shell are illustrated in Figure E-5.

- **case**—holds the components
- **primer**—ignites the powder
- **powder**—propelling force
- **wadding**—seals the powder
- **shot**—the projectile(s)



Rifled Slug

No. 00 Buckshot

Figure E-5
12-Gauge Shotgun Shells

Rifled Slug. A rifled slug is a single-lead pellet of about .72 caliber. It has land and groove marks on its sides. Its muzzle velocity is about 1600 feet per second. At 50 yards, it can group in a 6-inch circle.

No. 00 Buckshot. These shells contain nine lead balls about .33 caliber in size. At close range, this provides a distinct advantage over most other weapons. At 40 yards, eight of the nine pellets will group in a 30-inch circle.

No. 4 Buckshot. No. 4 buckshot contains twenty-seven lead balls about .24 caliber in size. At 40 yards, twenty-one of the twenty-seven pellets will group in a 40-inch circle.

Advantages of the Police Shotgun

1. When used as a shotgun, it provides greater accuracy with less danger from the long-range travel of projectiles.
2. When used as a rifle, with the rifled slug, the shotgun is effective at close range, but the projectile does not carry as far as a regular rifle projectile—an advantage in congested areas.
3. The shotgun can also be used to launch CS and CN gas for riot control.
4. It is easier to train officers in effective shotgun use than in the use of single-projectile weapons.
5. Shotguns are inexpensive and have a long life span.

Disadvantages of the Police Shotgun

1. They are not easily available to officers away from their vehicle.
2. Tubular magazines are subject to jamming from dirt or denting.
3. There can be an adverse effect on the attitude of the general public if the presence of the shotgun is too obvious.
4. The size of the weapon makes it inconvenient to conceal and carry.

Special Weapons

In the 1980s, police may encounter more mob action and group criminal activity than ever before, including planned incidents by terrorist groups and drug gangs, and spontaneous events such as urban riots. Possible criminal activity includes hostage taking, barricaded snipers, mass looting, and extensive arson.

At first, the police developed small, specialized units such as special-weapons teams, hostage-negotiation teams, anti-sniper teams, etc., in response to these situations. Now, most urban police departments have formed fully-militarized, specially-trained response platoons to combat a variety of problems. This has required the introduction of more military-type weapons. The following are a few of the special weapons that have been adopted.

Sniper and Anti-Sniper Rifles

The military 30/06 high-powered rifles are unsuitable for use in congested city areas. The lightweight, sporting-type rifles or carbines, .223 to .243 in caliber, are more suitable. They are light, more maneuverable, and have a low ricochet potential.

Action. A bolt or slide action is preferred over the semi-automatic for sniper, anti-sniper work.

Sling. Since police officers need to use both hands to climb, handle equipment, and for other activities, a rifle sling is required.

Sight. A large telescopic sight with a high light-gathering ability is required. Extreme ranges are rarely encountered in urban areas. Usually a scope that permits accuracy up to 300 yards is sufficient. Many of the better arms manufacturers produce suitable rifles and scopes. Figure E-6 is an example of a sniper and anti-sniper rifle with a telescopic sight.

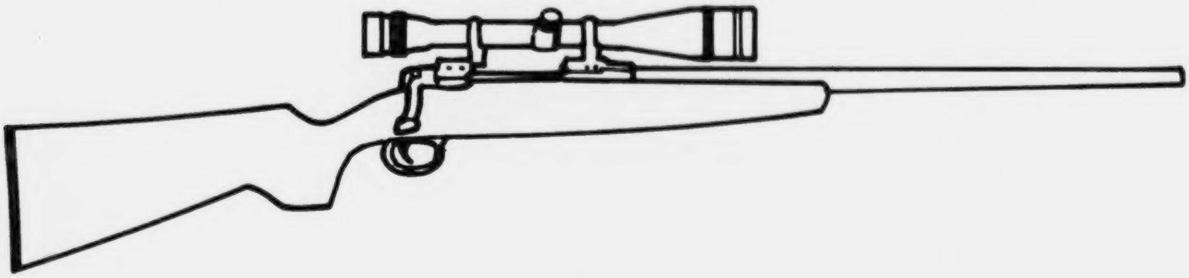


Figure E-6
Sniper and Anti-Sniper Rifle with
Telescopic Sight

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Special Shotguns

We have already explored the standard police shotgun capabilities, as they are applied to certain special response situations. However, where close encounters are likely, a shorter, more maneuverable weapon is desirable. Such a weapon should have a barrel length of 18 to 20 inches, a bottom ejection, and either no stock or a folding stock. Figure E-7 is an example of a weapon of this type. Some have pistol grips and short barrels as shown in the illustration while others have a folding stock and short barrel.

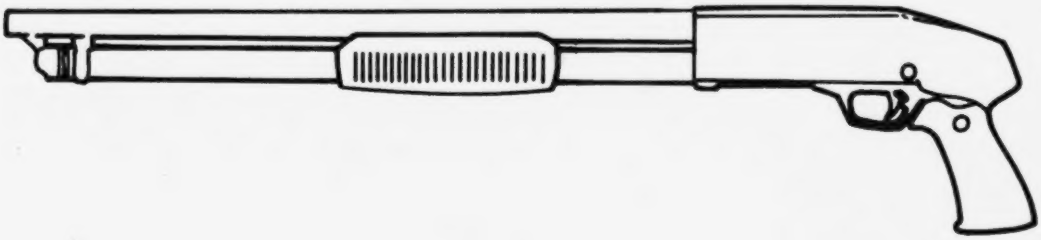


Figure E-7
Special Short Shotgun

Semiautomatic Rifle

Some SWAT-team situations require a rapid-fire capability that is similar to the Colt M16 military rifle. The Colt AR-15 shown in Figure E-8 is a weapon in .223 caliber with this capability.

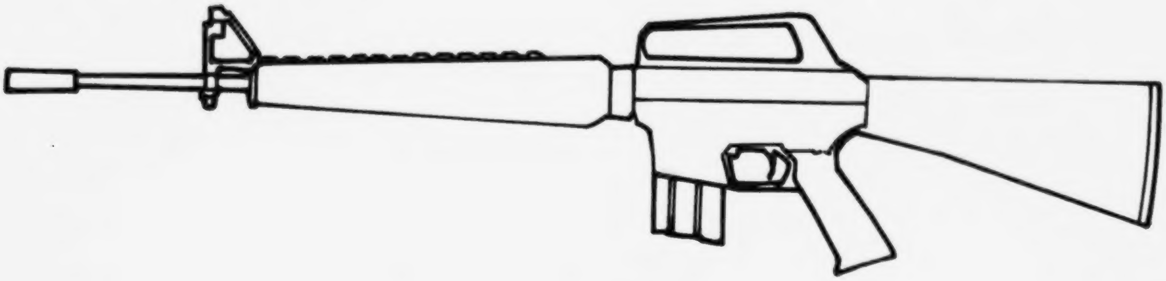


Figure E-8
Semiautomatic Rifle

Summary

Urban police departments have charged their methods to more effectively resist organized criminal activity. Fully militarized, special response platoons have been formed to deal with the problem. **Chemical** weapons and special military-type weapons are being used by these teams.

The chemical weapons most commonly used are **tear gas (CN)** and **irritant agent (CS)**. These agents are used by police to apprehend violent persons without using direct force. The chemical may be in either **solid** or **liquid** form, and may be launched with a hand-thrown grenade, a shotgun, a shoulder or handgun launcher, or a tear-smoke generator. These substances may be dispersed as a liquid, fog, or aerosol cloud, or can be exploded in micropulverized form.

It is important to know the basic parts and the mechanical operation of the firearms which you use and to be aware of unsafe conditions and potential malfunctions. To give you dependable performance, your firearm **must** receive proper care, cleaning, and repair. You should **know** and **observe** the **safety rules** when handling **any** firearm, whether you believe a firearm is loaded or not.

The most popular **sidearms** in use today by American police are double-action revolvers made by Colt or Smith & Wesson. Experience has shown that these weapons are less likely to malfunction. The **.38 special cartridge** is the best all-round ammunition for the police service revolver. It is composed of a **primer, powder charge,** and **bullet** arranged in a case, and a complete cartridge is referred to as a **round.**

The basic police **shotgun** is the pump (or slide) action, 12-gauge shotgun with a 20-inch barrel. Its advantages include greater accuracy with less danger to innocent bystanders, its ability to be used as a launcher of CN and CS agents, easier training in its use, and a long life span for a comparatively inexpensive weapon. The barrel has a smooth bore and an open choke as well as a magazine under the barrel which will hold six shells. A shell case holds the primer, powder, wadding, and shot. The most common sizes used are the rifled slug, No. 00 buckshot, and No. 4 buckshot.

Special weapons are being adopted by special response platoons for use in combating organized criminal activity. Some examples of these are sniper and anti-sniper rifles on which telescopic sights may be used, special short shotguns, and semiautomatic rifles with rapid-fire capability.

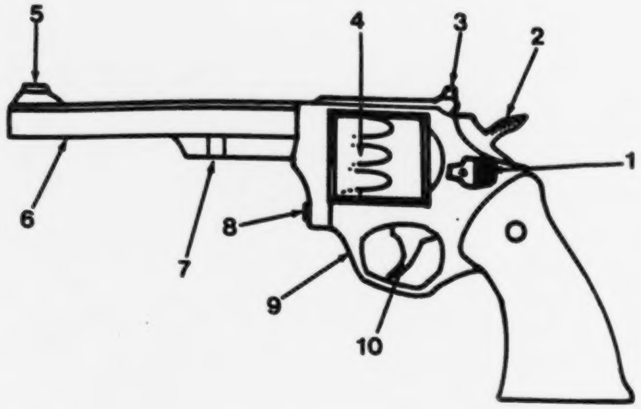
Now complete the review questions beginning on the next page.

Review Questions (V: E)

Write your answers on a separate sheet of paper.

1. Which of the following are basic chemical agents used by police?
    a. SC and CN
    b. CN and CS
    c. DM and SN
    d. nerve gas
2. Which one of the following is **not** a way in which chemical weapons are dispersed?
    a. fog
    b. pyrotechnic
    c. liquid
    d. express
3. Which of the following are methods of launching basic chemical agents? (Choose **all** correct answers.)
    a. hand-thrown grenades
    b. shotgun launcher
    c. rifle launcher
    d. shoulder or handgun launchers
4. Which of the following are safety rules for handling firearms? (Choose **all** correct answers.)
    a. Pass a firearm to another person only with the cylinder or action open.
    b. Check to be sure there is no obstruction in the barrel of a firearm before loading.
    c. The firearm may be pointed in any direction safely on a firing range.
    d. Never leave a loaded gun where untrained persons have access to it.

5. List the letters a-j on your paper and then label the parts of the service revolver by writing the number of the part shown on the following diagram beside the letter for its name.



a. front sight	f. barrel
b. cylinder	g. trigger
c. rear sight	h. trigger guard
d. cylinder latch	i. ejector rod
e. hammer	j. crane

6. Which of the following are safety features of the modern revolver? (Choose all correct answers.)

   a. safety latch on trigger guard
   b. heavy double-action trigger pull
   c. hammer must be fully cocked for single-action firing
   d. double-action firing pin

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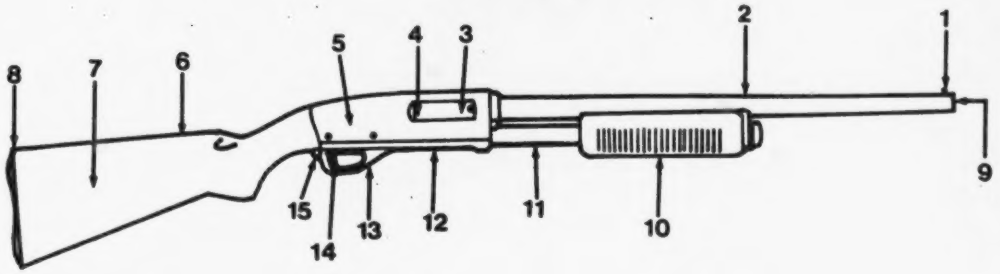
7. List the letters a–e on your paper. Then match the description of the cartridge component with its name by writing the number of the description by the letter for the part name.

Name	**Description**
a. case	1. burns rapidly when ignited, generating the propelling force of gas
b. primer	2. one complete cartridge ready for firing
c. powder charge	3. a very sensitive explosive which disintegrates and ignites when struck
d. bullet	4. the projectile
e. round	5. a brass or steel cylinder closed at one end

8. List the letters a–o on your paper and then label each part of the police shotgun by writing the number of the part shown on the following diagram beside the letter for its name.



a. barrel

b. breech block

c. comb

d. ejection port

e. fore–end

f. front sight

g. heel

h. loading port

i. magazine

j. muzzle

k. receiver

l. safety

m. stock

n. trigger

o. trigger guard

9. List the letters a-e on your paper. Then match the description of the 12-gauge shell component with its name by writing the number of the description by the letter for the part name.

Name	**Description**
a. case	1. ignites the powder
b. primer	2. seals the powder
c. powder	3. holds the components
d. wadding	4. the projectile(s)
e. shot	5. propelling force

10. Which one of the following statements best describes the buckshot used in shotgun shells?

    a. a single lead projectile in the nose of a brass casing
    b. a slug with land and groove markings
    c. a number of round lead pellets
    d. a single large lead ball

11. Which one of the following statements describes a rifled slug?

    a. a single-lead projectile in the nose of a brass casing
    b. a slug with land and groove markings
    c. a number of round lead pellets
    d. a single large lead ball

12. Which of the following are advantages of the shotgun? (Choose **all** correct answers.)

    a. It can fire a single projectile which is effective at close range.
    b. It can fire an effective close-range pattern of projectiles without the long-range problems related to the .38 caliber revolver.
    c. Its tubular magazine prevents jamming.
    d. It can be used to launch chemical agents.

13. Which of the following are considered to be special weapons? (Choose **all** correct answers.)

    a. sniper rifle with telescopic sights
    b. short-barreled shotgun with no stock
    c. semiautomatic rifle
    d. short-barreled shotgun with folding stock

Check your answers with the correct ones provided in the answer key.

Block V: Proficiency Skills
Unit F: Rescue Tactics
Section 1: Rescue Equipment

Ask your instructor for the pretest for this section (V: F-1). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

Rescues, whether in response to man-made or natural disasters, utilize many of the same tactics and equipment. This section will explore the basic equipment which should be readily available to rescue teams. Rescue tactics will be presented in Sections 2, 3, and 4 of this unit.

Most urban police departments include special response platoons, which are trained in hostage negotiation, emergency medical response, rescue rigging, and other specialized skills. Criminal justice personnel may specialize in any of these fields; however, all personnel should be trained in basic rescue tactics and the use of rescue equipment.

As you learned in Unit A, rescue is an important aspect of public service whether the threat comes from violent persons or from natural or man-made disasters. However, being trained in rescue techniques and methods will be useless if you are not physically fit, since you will not have the physical capability to save another's life or your own. The self-discipline required for maintaining physical fitness must continue throughout your career in criminal justice if you are to participate in emergency rescues.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the most reliable of the natural fiber ropes to be used in rescue work.
2. Identify the most reliable of the synthetic fiber ropes to be used in rappelling.
3. List three advantages of nylon over manila for use in rescue work.
4. List the data needed for selecting the proper size of rope for a rescue situation.
5. List the precautions for the care and protection of ropes.
6. Compare the relative strength of a loop formed by a knot with one formed using an eye-splice.
7. List five reliable knots and how each can be used in rescue work.
8. Identify the most dependable knot for anchoring life-support lines.
9. Describe the three basic types of blocks used in rescue work.
10. List three uses of a carabiner.
11. List three methods of transferring a person on a highline.

Rescue Equipment

An attempt to rescue a person from difficulty usually endangers the rescuer as well; therefore, a complete knowledge of the capabilities and limitations of your equipment is essential. The survival of the rescuer and the person to be rescued depends largely upon the condition of the equipment used and the skills of the rescuer. No two rescue situations are ever the same; however, rescue operations often require the use of ropes, blocks, tackles, and other hardware. In this unit, you will learn about this basic rescue equipment.

Cordage: Ropes, Cords, and Cables

Since many rescues involve the use of ropes, cords, or cables, we will discuss the characteristics of the various types of cordage, and how to select the proper size for a rescue operation. Proper care of the cordage and a knowledge of how to make reliable knots are essential for dependable performance.

Characteristics of Rope and Cable

Natural Fibers. There are six types of ropes made from natural fibers: manila, sisal, cotton, hemp, linen, and jute. Of these, manila should be the only natural fiber to be considered for use in rescue work since it is stronger and more wear resistant than the others. Sisal has only about 80 percent of the strength of manila and is more subject to mildew and rot. Cotton rope has little strength and should not be used in any life-support situation. Italian hemp, linen, and jute fiber ropes have only about 50 percent of the strength of equal-diameter manila and should not be considered for life-support purposes.

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manila: a strong fiber from the leafstock of the Philippine abaca tree, a relative of the banana.

sisal: a strong durable white fiber of the agave plant used for hard-fiber cordage and twine.

cotton: a soft fibrous substance composed of the hairs surrounding the seeds of plants of the mallow family which can be made into yarns, twine, and cordage.

hemp: a tall annual Asiatic herb with tough bast fiber used especially for cordage.

linen: thread, twine, or cordage made of flax fibers.

jute: glossy fiber of East Indian plants of the linden family used for sacking, burlap, and twine.

Synthetic Fibers. By the 1950s, **nylon** became the preferred fiber for rescue work. Nylon has many characteristics which render it superior to other ropes for rescue purposes.

- It is **very elastic** and will absorb seven times the shock load of manila. This elasticity makes nylon rope ideal for rapid descents, which must be stopped quickly by the **belay team** in **rappelling** and casualty descents.

- It is highly **resistant to abrasion** and **will not rot**, even when subjected to prolonged moisture.

- Nylon rope is more than twice as **strong** as a manila rope of equal size. A 1/2-inch manila line has a breaking strength of 2,650 pounds, whereas a nylon line of the same diameter has a breaking strength of 6,650 pounds. However, when a nylon rope reaches its breaking point, it snaps with such force that anyone within reach could be injured.

Where elasticity is not desirable, the most popular synthetic fiber is "**high tenacity polyester**," often called Dacron (a DuPont brand name). It is not quite as strong as nylon. One-half inch polyester rope has a breaking strength of 6,100 pounds as compared to 6,650 pounds for nylon. It does not have the elasticity of nylon, and for that reason is used as a main line or high line when excessive sag is undesirable.

Two other types of synthetic ropes are **polyethelene** and **polypropylene**. These are not as strong as nylon or polyester but they are stronger than manila. These ropes are useful as safety lines for divers attempting to rescue victims trapped in an auto under water. These ropes float so that you can follow the progress of the diver, and the rope also is less likely to entangle the diver.

Steel Cable. An aircraft-quality galvanized steel, stranded cable is, obviously, a reliable rescue device when used for escapes from fire and smoke in high buildings. Even though rope is most useful for SWAT-type team descents, systems using steel cables have been developed to effect individual escapes from high-rise fires and will probably replace rope for use in fire rescues in the future.

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belay team: team of rescuers responsible for securing the terminal end(s) of the line(s) being used in rescue operations.

rappelling: descent from a height by means of a double rope passed under one thigh, diagonally across the body, and over the opposite shoulder.

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Selection of Size

Ropes can be used for many rescue purposes. Some of these uses include:

- direct support for victims
- direct support for rescuer
- safety lines
- tie-downs for stretcher casualties
- control lines
- vehicle recovery
- rigging blocks and tackle
- high lines
- throwing lines.

When considering the use of rope, you must know the **maximum load** it will sustain and then allow a generous **safety factor** in addition. A **factor of 5** is generally used, which will help you to determine the proper size rope to use. Remember, if a rescuer is going after a stranded victim, double body weight must be allowed, plus the safety factor. So, if a 170-pound officer is going to rescue a stranded person, s(he) would figure 2 x 170 x 5 to determine the tensile strength needed.

It is also necessary to know the **block sizes** which are available so that the selected rope will fit through the sheaves of the block without binding. Ropes and blocks which are compatible with each other should be stored together. Then, you do not have to waste time selecting them, since time is critical during rescue operations.

Equipment weight must also be considered. It is not reasonable to select an excessively large rope when you know that it must be carried a long distance, perhaps up the side of a high rise on a rope ladder.

As a rule of thumb, 1/2-inch nylon will adequately support a single rappeller; but the rope should be doubled if a rescue is to be made. For use in "highlines," 5/8-inch polyester will usually suffice. If there are no transport problems, and block size permits it, 3/4-inch polyester would be even better.

When selecting a rope size to use in a particular rescue situation, the following factors must be considered:

- maximum workload (for example: weight of rescuer, stranded person, and rescue equipment)
- safety factor (generally a factor of 5 is used)
- available block sizes
- equipment weight
- transport problems

Care and Protection of Ropes

Ropes must receive proper care and protection to be dependable. Observing the following precautions will assure a reliable performance:

- Look out for kinks in the line.
  One sure way to destroy the strength of a rope is to permit it to kink and then strain it.

- Keep ropes clean.
  If the rope picks up mud and sand during an operation, drape it over a rail and hose it down. If sand and dirt are permitted to stay within the fibers and the rope is then strained, it will sandpaper itself and be weakened.

- Stow ropes carefully.
  Natural fiber rope **must** be dried before stowing. Stow synthetic ropes away from exhaust pipes and batteries. Heat and acid are the natural enemies of synthetics.

- Prevent slipping.
  When using winches from trucks or helicopters, do not let the rope slip around the drum unnecessarily. Friction heat develops temperatures that can burn or melt fibers. For the same reason, unnecessarily rapid descents on rappelling lines should be avoided. Friction at the **carabiner** can also cause damage to fibers.

- Avoid small blocks.
  A block which is too small for the rope size creates friction heat and wears and chafes the rope, which may leave a rescuer suspended partway down.

- Never overload.
  The safety factor of 5 should be used in determining the rope's working load. If a rope must lift 500 pounds, a rope with a tensile strength of at least 2,500 pounds should be selected (5 x 500 lbs.).

- Inspect ropes.
  Inspect ropes regularly for abrasions, cuts, broken fibers, and variations in strand size and shape. Open up the rope by twisting the strands to reveal the condition of the interior fibers. Powdered, melted, or fused fibers are a danger signal. Such ropes should always be replaced.

Knots and Splices

The knots and splices described below will satisfy the needs of most rescue situations. Knowing a few reliable knots well is preferable to knowing many that are not useful in life-support situations. Remember, a knot is never as strong as the rope itself. A splice is 50 percent stronger than a knot, so whenever possible, a splice should always be used.

The following list describes five reliable knots and how they are used in rescue work, illustrates the importance of whipping rope ends, and gives instructions with illustrations for completing an eye splice.

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carabiner: an oblong ring that holds a freely running rope.

1. The Simple Overhand Knot

This is the first knot used in rigging the "Swiss seat" for use in rappelling. It is tied with the knot at or just below the navel (center of gravity). Full instructions are given in Section 3 of "Rescue Tactics." (See Figure F-1-1)

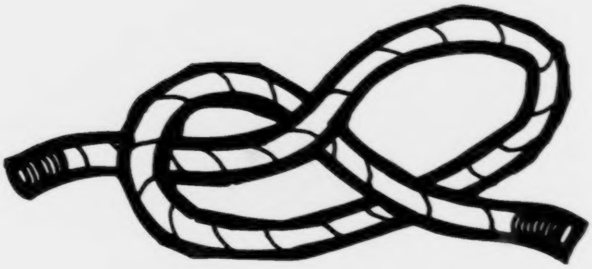

Figure F-1-1
Simple Overhand Knot

2. Half-Hitches

In tying the Swiss seat, a single half-hitch is used at the waist rope on each side. The illustration shows two half-hitches. Two half-hitches are often used in rescue rigging to make a line hold fast to an anchor point on a tree, pole, ring, etc. The double-half hitch is also used in addition to a bowline as a safety factor. (See Figure F-1-2)

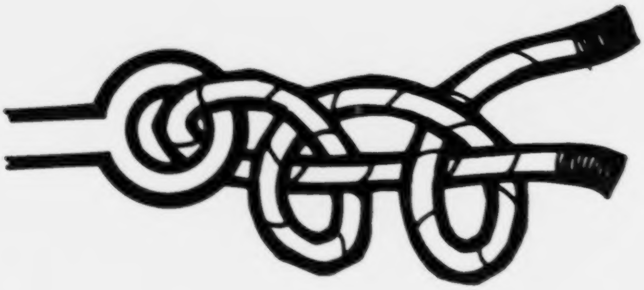

Figure F-1-2
Half-Hitches

3. Square Knot
The square knot is the final knot used in rigging the Swiss seat and is tied at the left side. Do **not** use the square knot to tie together lines of different sizes. Nor should it be used in a life-support capacity since it is easily "upset" and may slip. Even if it does not slip, it "sets up" very tightly under strain and becomes difficult to untie. (See Figure F-1-3)

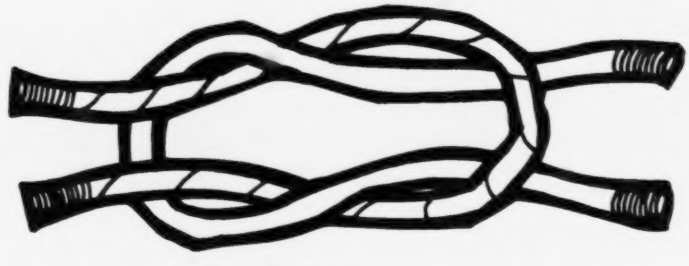

Figure F-1-3
Square Knot

4. The Bowline
This is the most dependable knot and can be used in a wide variety of rescue riggings. It is a **must** for anchoring lines at the top of rappelling lines and main high lines. However, even then it should be backed-up with two half hitches and a snap link or carabiner. The bowline will not slip, does not pinch or kink the rope as much as other knots do, and does not jam or become as difficult to untie as other knots after being placed under stress. By tying a bowline with a small loop and passing the line through the loop, the "running" bowline is formed. This can be useful as a lariat to lasso an anchor point which lies beyond your reach. (See Figure F-1-4)

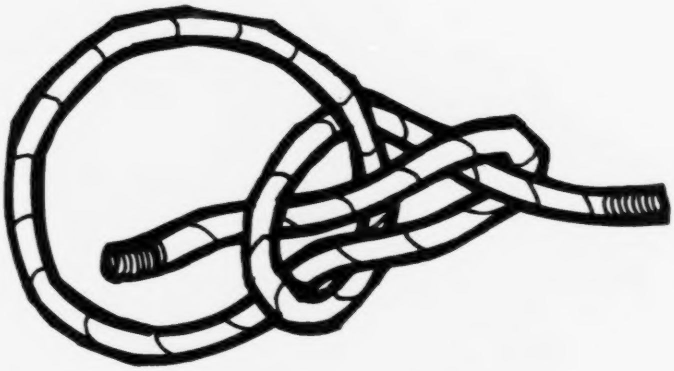

Figure F-1-4
Bowline Knot

5. The Figure Eight Knot

This knot is used at the end of a rope rigged through a block and tackle to keep the rope from running through the block in case the belay team drops the **bitter end.** It is also used to rig a climbing rope for vertical ascents. The rope should be tied with these knots every 8 inches, and the belay team must anchor the knotted rope at the bottom when a climber is on the rope. (See Figure F-1-5)

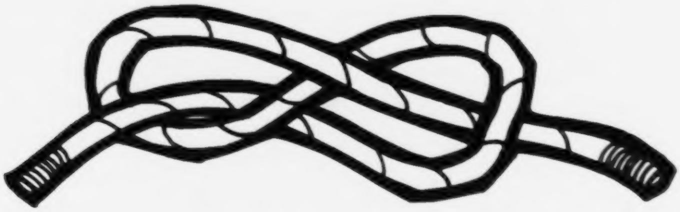

Figure F-1-5
Figure Eight Knot

6. Whipping Rope Ends

If rope ends become unravelled so that an "Irish pennant" results you will have a potentially dangerous condition. When you are trying to work with rescue lines which have unravelled ends, the loose yarns are like fingers which grab and hold anything the rope end touches. This may prevent your line from going where it is supposed to go and doing what you want it to. Loose ends **must** be whipped, taped, or otherwise made safe! The best approach is to whip the rope end with a fine line which is then sewed directly to the rope, as illustrated below. (See Figure F-1-6)

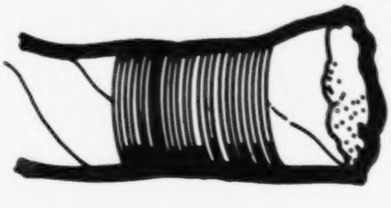

Figure F-1-6
Whipping

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bitter end: the inboard end of a ship's anchoring cable or line; the secured end of a line.

7. Eye-Splicing

The eye-splice is important in all rescue work using rope equipment. A basic rescue item is the "double-eye anchor line." This is a 5-foot length of 1/2-half inch polyester with a 6-inch eye in each end. Some of the uses for double-eye anchor lines are:

- to quickly rig an anchor point on trees, poles, etc.
- to hook up to a main line from a Swiss seat
- to hook up a person for a rappelling rescue.

The steps for eye-splicing are described and illustrated in Figure F-1-7 below:

1. Start the splice by separating the three strands at the end of the rope (as shown in Part A) with the center strand (1) passing down the center over the standing part, the bottom strand (2) passing out to the left side, and the top strand (3) passing out to the right.

2. Form the end of the rope into an eye of the desired size and tie off at the junction with a string.

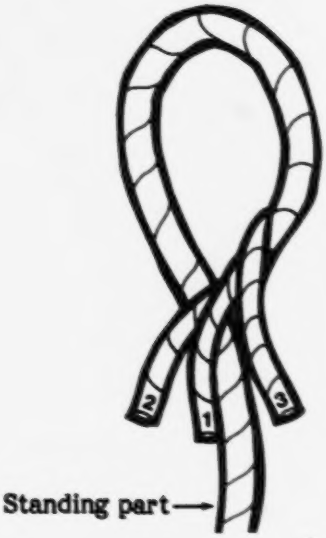


Figure F-1-7
Part A. Eye-Splice Strands
Separated and Eye Tied Off

3. Lay the open strands out over the rope at the junction as illustrated. Start with the center strand (1) and tuck it under the nearest top strand of the standing part as shown in Part B.

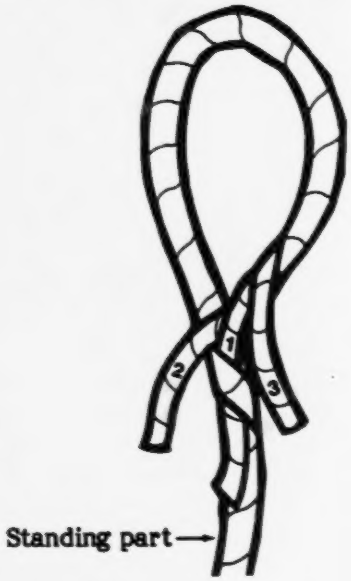


Figure F-1-7
Part B. Eye-Splice First Tuck

4. Make the tuck from right to left against the lay of the standing part, and pull it snug.

5. Now take the bottom strand (2) which is on the left and tuck it under the next strand of the standing part which is to the left of the center strand (1), as shown in Part C.

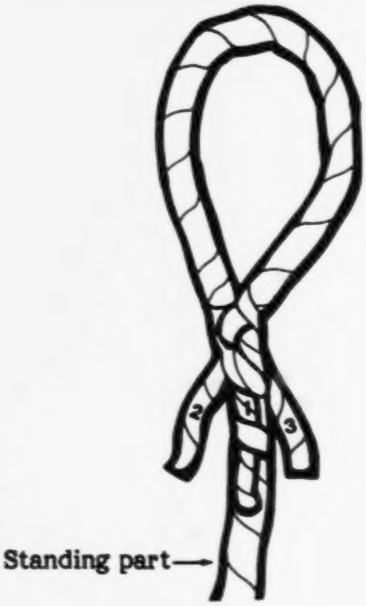


Figure F-1-7
Part C. Eye-Splice Second Tuck

6. Now take the right strand (3) and pass it under the next strand of the standing part just to the right of the center strand (1).

NOTE: Always tuck from right to left. Once you have completed one sequence you should have one strand passing between each of the three strands in the standing part and at the same level all around. Now, repeat the weaving for as many sequences as you need to complete the splice.

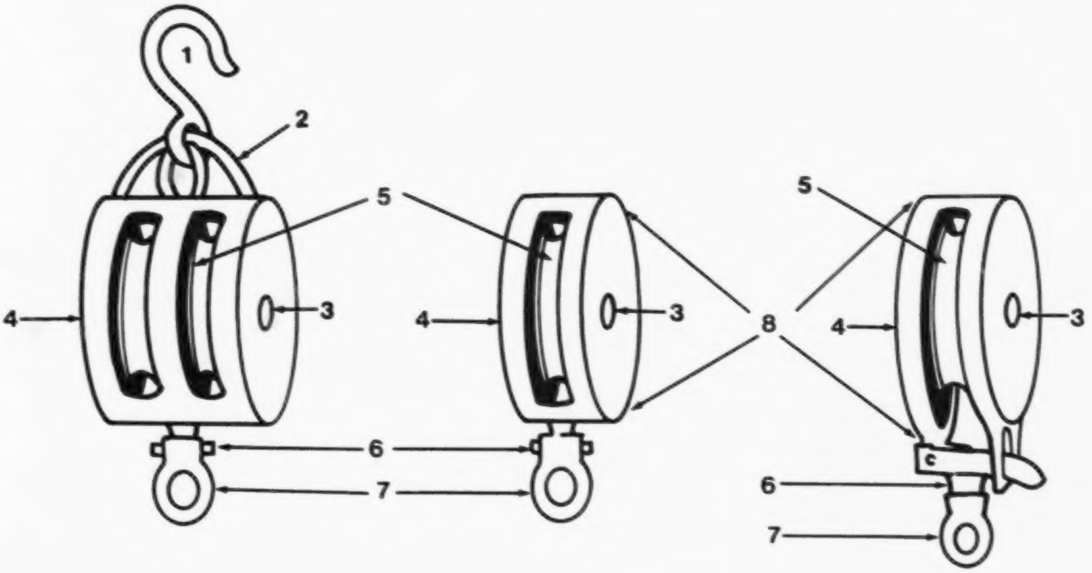
Rescue Hardware

Blocks and Tackles

Blocks are composed of wood or metal frames fitted with sheaves or pulleys which a rope runs through. Blocks are named by the number of sheaves they contain or some other special feature. The most common blocks used in rescues are:

- single blocks
- double blocks
- snatch blocks.

Figure F-1-8 illustrates these blocks and their parts. Snatch blocks are hinged on one side and have a hasp on the other side. This permits the block to be opened and clasped onto the main line rather than having to reeve or pass the end of the main line through it.



A. Double block	B. Single block	C. Snatch block	
1. Hook	3. Pin	5. Sheaves	7. Eye
2. Straps	4. Cheeks	6. Becket	8. Shell

Figure F-1-8
Blocks

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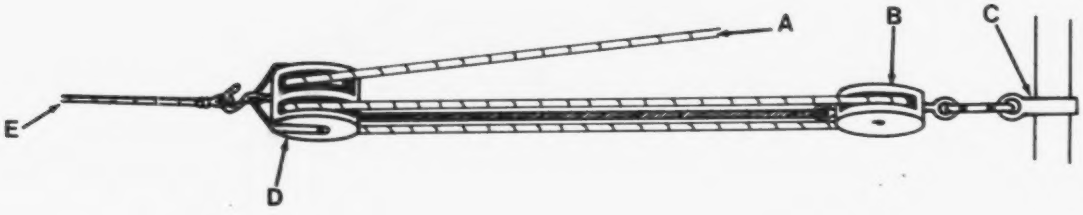
Tackle is a combination of blocks, ropes, hooks, and eyes used for:

- changing direction of an applied force
- gaining a mechanical advantage such as tightening main lines
- lifting heavy weights.

The number of ropes leading to and from the **movable** block determines the force-to-weight ratio necessary for lifting or tightening. The tackle shown in Figure F-1-9, for example, has 4 lines running to or from the movable block. It is said to have a ratio of 1:4.



Ratio - 1:4

A. Hauling part
B. Fixed block
C. Anchor point
D. Moving block
E. Load (tightening main line, etc.)

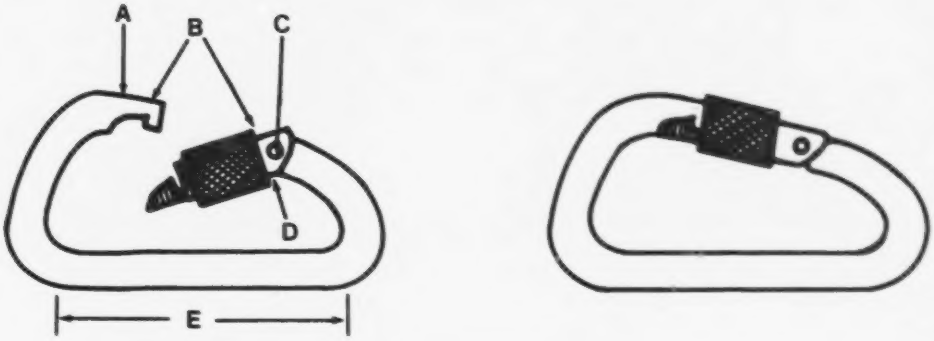
Figure F-1-9
Tackle

Carabiner or Snap Link

A carabiner (pronounced cara-BEEN-er) is a metal snap link used for:

- rappelling
- joining two ropes
- securing ropes at anchor points.

It has a gate or keeper on one side which can be opened inwards to allow the rope to be inserted. The gate is spring-loaded and latches to prevent the rope from jumping out. There are several types, but the carabiner having a screw sleeve on the gate to prevent accidental openings should always be used in rescue work. Carabiners are made of steel or aluminum alloy and should have at least a 2,000-pound holding ability when closed. (See Figure F-1-10)



A. Latch	D. Keeper
B. Gate	E. Backbone (load-bearing side)
C. Pin	

Figure F-1-10
Carabiners

Grappling Hooks

Grappling hooks are often used for making vertical ascents or for reaching from one building to another. They should only be used for the initial access by response team members, not for victim or patient transfer. The rope should be well secured and independent of the hook before being used for the transfer of a victim or patient. They are made of steel and the ends of the flukes, or prongs, should be sharp. In vertical ascents you should use a knotted rope or a narrow scaling rope ladder to climb. In either case, a double light line can be threaded through the eye of the anchor or hook for throwing. A one-half inch line is then pulled through the eye, and used to pull the knotted rope or ladder into place. (See Figure F-1-11)

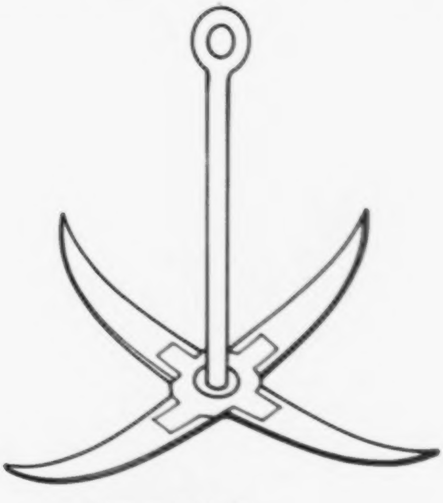


Figure F-1-11
Grappling Hook

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Transfer Equipment

Bosuns Chair. The bosuns chair, or a Swiss seat, can be used for transferring persons on a horizontal or inclined main line, as you will learn in Section 3 and 4. A snatch block is fixed to the main line and a carabiner is first snapped through the becket eye of the block and then through the eye of the rope terminal of the bosuns chair. If a Swiss seat is used, a carabiner is snapped through the front of the seat as in rappelling, then snapped through one eye of a double-eye safety line. The other eye is made fast to the becket eye of the snatch block. When either is used on an inclined high line, a safety line is snapped onto the becket of the snatch block and used for a controlled descent. (See Figure F-1-12)

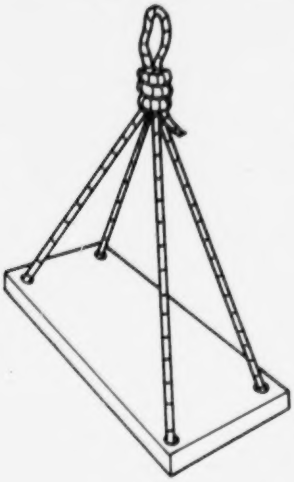

Figure F-1-12
Bosuns Chair

Backboards. Full backboards and short backboards are standard emergency medical rescue items which are used for transferring injured persons. Their use requires training in Emergency Medical Technology. Special response platoons have at least one team trained in EMT procedures but all members of the platoon should be trained in the use of the boards. (See Figure F-1-13)

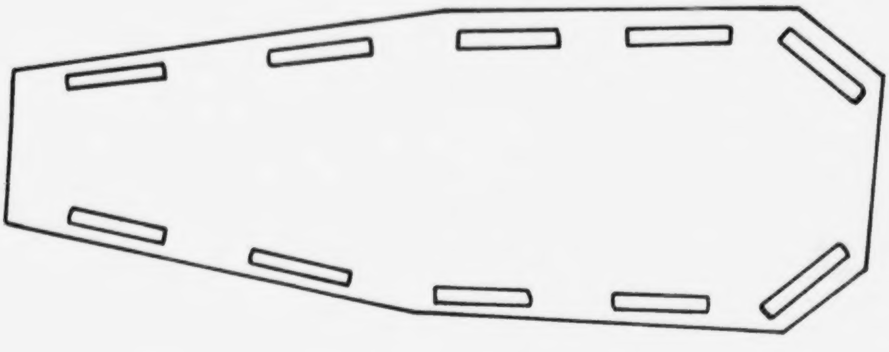

Figure F-1-13
Backboard

Basket Stretchers. Basket stretchers are usually used to transfer injured persons from inaccessible areas to conventional stretchers including high-level to low-level transfers, transfers by helicopter, or transfers upward from a boat to a bridge. Once all restraining straps are properly fastened, a patient can be transferred vertically on a rappelling line which is properly belayed or s(he) can be moved horizontally down an inclined high line suspended by the sling straps. (See Figure F-1-14)

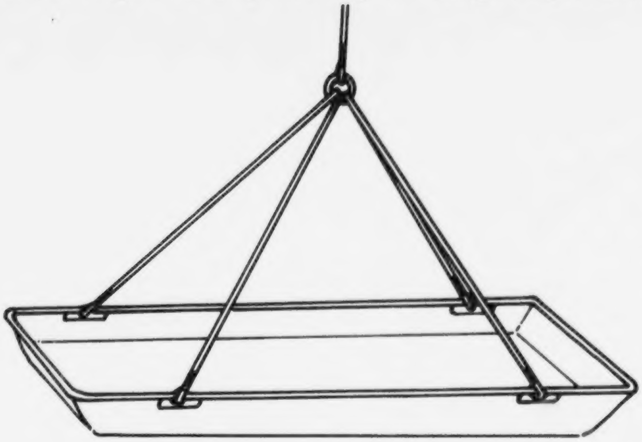

Figure F-1-14
Basket Stretcher

Summary

Use of **proper rescue tactics** provides an important public service. All criminal justice personnel should be trained in basic rescue tactics and in the use of rescue equipment. The survival of the rescuer and the person to be rescued depends mainly on the skill of the rescuer and the condition of the equipment.

Cordage, which refers to ropes, cords, and cables, can be made of either natural or synthetic fibers. Of the natural fibers, **manila** should be the only one considered for rescue work. **Nylon** rope, the favored synthetic fiber, is very elastic and will absorb 7 times the shock load of manila. However, this elasticity becomes a disadvantage because when it reaches its breaking point it can snap with such force that it can cause injury to anyone it strikes. Even though it is not quite as strong as nylon, **polyester** (Dacron) is preferred when elasticity is not desirable. **Polyethelene** and **polypropylene** are useful for water rescues because they float, while **steel cable** is the most reliable for fire rescues.

Selecting the proper rope size to use in a rescue operation is as essential as selecting the proper type of rope. You must know the rope's **maximum load** and allow a **factor of 5** for safety purposes. If a stranded person is to be rescued, the rescuer must remember to **double** his body weight **and multiply** by the safety factor of 5.

Ropes should be given **proper care** by:

- watching for kinks in the line
- keeping the ropes clean
- stowing ropes carefully

- stowing ropes carefully
- preventing slippage
- avoiding blocks which are too small for the rope size
- never loading beyond the rope's strength
- inspecting ropes regularly.

If you follow these guidelines, you can expect dependable performance when you need it.

Rescuers must know how to **select** and **use** reliable knots for particular rescue situations. **Basic** knots include the **simple overhand, half-hitch, square, bowline,** and **figure eight.** A knot is never as strong as the rope itself and a **splice** is better if time gives you a choice.

The **eye splice** is important in all rescue rope equipment. The loose ends of ropes must be **whipped** to prevent the dangers which frayed ends can cause.

The block is an essential piece of rescue hardware, and the most common are **single, double,** and **snatch** blocks. When blocks are used with ropes and hooks, the combination is known as **tackle.** Other kinds of hardware used in rescue operations are: **carabiners** or **snap links, grappling hooks, bosuns chairs, backboards,** and **basket stretchers.** You will learn more about using this equipment in other topics covered in this block.

Now complete the review questions beginning on the next page.

Review Questions (V: F-1)

Write your answers on a separate sheet of paper.

1. Natural fiber ropes which are most reliable for rescue work are made of:

   a. cotton.
   b. linen.
   c. manila.
   d. sisal.

2. Synthetic fiber ropes which are most reliable for rappelling are made of:

   a. nylon.
   b. polyester.
   c. polyethelene.
   d. polypropylene.

3. A nylon rope is better than manila for rescue work because: (Choose **all** correct answers.)

   a. it is resistant to abrasion and rot.
   b. it floats.
   c. it does not sag.
   d. it is stronger and more elastic.

4. To select a proper size rope for a rescue situation, you would need to know: (Choose **all** correct answers.)

   a. which company made the rope.
   b. the maximum work load and the safety factor.
   c. equipment weight.
   d. block sizes available.

5. Proper care of ropes includes: (Choose **all** correct answers.)

   a. using ropes with proper block sizes.
   b. inspecting them regularly.
   c. keeping them clean.
   d. storing them dry and away from heat and acid.

6. How much stronger is a spliced rope than one that is secured by a knot?

   a. 25 percent
   b. 50 percent
   c. 75 percent
   d. 100 percent

7. Which knot is most dependable for anchoring life-support lines?

   a. bowline
   b. square
   c. figure eight
   d. overhand

8. Which knot is tied just below the navel when rigging the Swiss seat for rappelling?

   a. bowline
   b. half hitch
   c. figure eight
   d. overhand

9. Which knot is used at the end of a rope to keep it from running through a block if the end of the rope is released?

   a. bowline
   b. figure eight
   c. overhand
   d. square

10. Which of the following is **not** one of the basic block types?

    a. double
    b. single
    c. snatch
    d. tackle

11. Which block is hinged on one side with a hasp on the other?

    a. double
    b. single
    c. snatch
    d. tackle

12. A carabiner may be used for: (Choose **all** correct answers.)

    a. joining two ropes.
    b. rappelling.
    c. securing ropes at anchor points.
    d. vertical ascents.

13. Which of the following are methods for transferring a person on a high line? (Choose **all** correct answers.)

    a. backboard
    b. basket stretcher
    c. bosuns chair
    d. grappling hooks

Check your answers with the correct ones provided in the answer key.

Block V: Proficiency Skills
Unit F: Rescue Tactics
Section 2: Ground Level Rescues

Ask your instructor for the pretest for this section (V: F-2). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

Rescues, whether they involve man-made or natural disasters, have certain common elements such as tactics and equipment to be used, victim assessment, triage, and decisions concerning the method of victim transfer. In Section 1 we explored basic rescue equipment and tactics. Deciding which method of transfer should be used depends upon such considerations as the patient's condition, whether the patient or victim is at ground level or must be moved from a high level location to a lower level, what equipment is available, and which victims should be transferred first.

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Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. List the elements of rescue common to all types of disasters.
2. List the four steps in victim assessment in their correct order.
3. List the hazardous conditions that may require immediate removal of victims.
4. List the vital signs that must be determined as soon as possible.
5. List the items of information that should be communicated to the nearest emergency medical facility.
6. List the conditions included in the three triage priorities by category.
7. Describe at least four types of short-distance transfer methods at ground level.
8. Describe the procedure for rescuing a victim from vehicular wreckage.
9. Describe the procedure for rescuing a victim from an electric source.

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The modern living environment, especially in urban settings, is becoming more and more vertical as condominiums, apartments, and office buildings are built higher every year. However, ground level disasters occur more frequently than high-level disasters. Motor vehicle accidents, aircraft crashes, train derailments, criminal activities, explosions, and fires account for many emergencies. Natural disasters such as hurricanes, tornadoes, earthquakes, and floods add to the casualty list at all levels. No matter what the cause, the following rescue procedures must be observed once the rescuer reaches the victim:

- assessment of the victim's condition
- triage
- decision on method of transfer.

Victim Assessment

To insure that the victim receives the necessary care as quickly as possible, the procedures included in the 4 steps of victim assessment should be followed carefully.

STEP 1 **Search for Life Threatening Conditions**

Is the airway clear?

- Look for chest movement.
- Listen and feel for an exchange of air from mouth and nose.
- Look for the presence of **cyanosis.**

If the airway is not clear:

- Determine whether it is an anatomic obstruction (blocking by tongue).
- Determine whether it is a physiological obstruction such as a spasm, constriction, or trauma of the air passage.
- Determine whether it is a physical obstruction, such as a foreign body, blood, mucus, or other substance, and then clear the airway.

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cyanosis: a bluish or purplish discoloration of the skin due to deficient oxygenation of the blood.

Remove foreign matter

- If the airway is not cleared by standard **CPR** technique, use fingers to remove all foreign matter from the base of the tongue.

- If this does not open the airway, apply the abdominal thrust technique. For this technique, refer to the EMS block of instruction.

Feel carotid pulse for force

- In emergency assessment, feeling the **carotid** pulse for force is done primarily to determine if there is any circulation so that a decision can be made regarding coronary resuscitation.

Examine for external bleeding

- Examine all body surfaces for serious bleeding.

- If bleeding is found, control it by using techniques presented in the EMS block of instruction.

Check pupils

- Check pupils to help determine if there is a respiratory emergency.

- Dilated pupils are a symptom of a lack of oxygen in the brain.

Observe skin color

- **Cyanosis** is a bluish color of the tongue, lips, fingernails, or skin. It is usually due to a **lack of oxygen or to shock.**

- **Pallor** is pale or clammy skin which may indicate **shock** or **bleeding.**

STEP 2 Remove from Hazardous Conditions

Traffic

As a general rule, a victim is left where s(he) is until his/her condition is fully assessed and treated. There are times, however, when the victim is in greater danger from hazardous conditions if s(he) is not moved. Then s(he) should be moved as soon as possible using the techniques described later in this section under "Short Distance Transfer."

CPR: cardiopulmonary resuscitation.

carotid: the chief artery or pair of arteries that pass up the neck and supply the head.

Electrical Hazards

When a victim is in contact with an electrical source, s(he) must be removed without direct contact with the rescuers. Use methods explained later in this section under "Short Distance Transfer."

Fire

If the victim is exposed to fire or smoke, s(he) must be removed by one of the prescribed methods before assessment can be completed.

STEP 3 Determine Vital Signs

When the victim has been removed from hazardous conditions, the following vital signs must be determined as quickly as possible.

Pulse Rate

- Count and record pulse rate by placing two or three fingers over the **radial, carotid,** or **femoral artery.**
- Count pulse beats for 60 seconds.
- Record beats per minute.

Respiration Rate

- Count and record respiration rate by looking at the patient's chest.
- Count respirations for 60 seconds.
- Record respirations per minute.

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radial artery: the smaller of the two branches of the brachial artery which passes along the radial side of the forearm to the wrist.

femoral artery: chief artery of the thigh lying in its anterior inner part.

Blood Pressure

- Using **stethoscope** and **sphygmomanometer,** measure and record **systolic** and **diastolic** blood pressure.

Oral Temperature

- Take and record the victim's oral temperature.

- Shake the thermometer down to 95° F or below.

- Place the thermometer under the victim's tongue for 3 to 5 minutes.

- Read and record the temperature.

STEP 4 **Communicate with Medical Assistance Facility**

Use the radio or telephone to call the nearest emergency medical hospital for verbal assistance. Before requesting assistance, supply the following information:

- approximate age of victim
- level of consciousness
- vital signs
- nature of the problem
- known history
- **ETA** at hospital.

Triage

Triage (tree-**azh**) means "to sort." When applied in rescues where multiple injuries have occurred, **triage** means: **to sort out in a priority system the order in which victims are to be transported to a medical facility.** This is best done by a medical triage team. During emergency rescues, however, personnel with formal triage training may not be available so the rescue team must often make triage decisions. Through the priorities of triage, the severity of each case comes into consideration to insure that victims will be dealt with efficiently. Rescue personnel must be familiar with the three priority categories of triage.

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stethoscope: an instrument used for the detection and study of sounds within the body.

sphygmomanometer: an instrument for measuring blood pressure.

systolic: the highest arterial blood pressure of a cardiac cycle occurring immediately after systole of the left ventricle of the heart.

diastolic: the lowest arterial blood pressure of a cardiac cycle occurring during diastole of the heart.

ETA: estimated time of arrival.

Triage Priority Categories

First Priority

- respiratory difficulties
- cardiac difficulties
- severe bleeding
- severe head injuries
- open chest or abdominal wounds
- severe shock

Second Priority

- burns
- severe fractures
- back injuries

Third Priority

- minor fractures
- those who are obviously dead

NOTE: A major emergency can easily overload a hospital emergency ward. Send first-priority patients to the nearest adequate facility and others to more distant facilities if necessary.

Short-Distance Ground Level Transfer Decisions

An injured person who is in a dangerous location (such as lying on the pavement of a heavily traveled roadway, lying in a pool of gasoline which has leaked from a wrecked vehicle, or overcome by smoke or gas), must be removed to a safer location promptly—even before primary assessment. **NOTE: ONLY under such conditions should injured persons be moved before their condition is evaluated.**

Methods for Removing Victims

Pulling the Victim. The Across Chest Pull and Blanket Carry are the recommended emergency transfer methods for pulling a victim to safety.

Across-Chest Pull

If the emergency transfer involves only a short distance do the following:

- Grasp the victim from behind.

- Pass your arms under the armpits and interlock them across the chest.

- Lift the head and shoulders.

- Pull the victim to safety.

Blanket Carry

If time permits and it seems obvious that the victim is too seriously injured to be dragged in the above method do the following:

- Move the victim carefully onto a blanket on his/her back.
- Take hold of the portion of the blanket near the victim's head and pull him/her along the ground to a safer location.
- Always pull in the direction of the long axis of the body, keeping the head and shoulders slightly raised so that the head will not bump the ground.

Carrying the Victim.

The Fireman's Drag

- Place the victim on his/her back so that the head is pointed towards the direction in which you intend to move.
- Tie the victim's wrists together using a belt, necktie, handkerchief, etc.
- Straddle the victim and place his/her arms around your neck.
- Crawl to a safe place, dragging the victim with you.

The Fireman's Carry

- Place the victim face down on the ground.
- Kneel with one knee along his/her head.
- Place both hands under the armpits and across the back.
- Raise the victim to his/her knees and secure the hold across the back while raising him/her to his/her feet.
- Hold the victim around the waist with your right arm.
- Hold the victim's right wrist with your left hand and pull his/her left arm across the back of your neck.
- Bend at the waist and knees and pull the victim's body across your shoulders until you have him/her balanced.
- Pass your right arm between his/her legs and grasp his/her right knee with your right hand.
- Carry the victim to safety where others can assist you to lower the victim.

The Pack-Strap Carry

Begin as in the fireman's carry, but instead of pulling the victim across your back:

- Place the victim behind you.
- Place the victim's arms around your neck.
- Grasp the victim's wrists with one hand.
- Lift and carry the victim to safety.

NOTE: Variations of this carry include tying the wrists as in the fireman's drag and using a towel or sheet under the victim's arms and over your shoulders.

Using Stretchers. There are many types of stretchers available. The army-type litter, the basket stretcher, and various improvised pole and blanket stretchers are examples. The technique for loading a seriously injured person on a stretcher is similar regardless of the type of stretcher. A four-man loading team, which is described below, is the best method.

1. Three men line up on one side of the victim.
2. The stretcher is placed along the opposite side of the victim with the fourth man kneeling at the midpoint of the stretcher on the opposite side.
3. The three-man team lifts the victim, one supporting the neck and upper back, the middle man supporting the buttocks and upper thighs, and the third man supporting the lower extremities. All three lift together, raising the victim as a single unit. The fourth man pushes the stretcher under the victim, then helps support the victim's head and upper body.
4. The victim is lowered onto the stretcher.

Using a Long Backboard. If **spinal injury** is suspected and traction is to be applied, the victim should be secured to a long backboard by an EMT Certified Paramedic. However, all rescue personnel should know the general procedure so that they can assist effectively. Three assistants are required, and they should all be familiar with the procedure that the EMT Paramedic is following. When using the long backboard it is important that:

- Straps **must not** restrict circulation.
- Immobilization **must** restrict body movement.
- In-line traction of the spine **must** be maintained at all times during movement.

The steps for securing a victim with suspected spinal injury to a long backboard are:

STEP 1 Explain to the victim what you are going to do in order to reassure him/her and prevent panic.

STEP 2 Three assistants line up on one side of the victim as outlined in "Using stretchers."

STEP 3 The EMT takes a station at the victim's head.

STEP 4 The EMT applies traction by grasping the victim's head on both sides and pulling in a straight line with the spine.

STEP 5 The EMT applies a **cervical collar** if needed.

STEP 6 As a unit, the team places the victim on a long backboard while the EMT maintains traction.

STEP 7 The victim is immobilized on the board while traction is maintained, body curvatures are padded, sandbags are applied to restrict head movement, and the victim is strapped to the board.

STEP 8 The victim is lifted with a minimum of body movement.

STEP 9 The victim is carried carefully to the ambulance.

Rescuing a Victim from Vehicular Wreckage

Assumption: When damage to a vehicle is severe, it must be assumed that injuries are also severe and that **spinal damage** is likely.
Caution: Whenever possible, an **EMT Certified Paramedic** should be in charge of the procedure for victim rescue. Assistants must be aware of the proper techniques.

The steps for rescuing a victim from vehicular wreckage are:

STEP 1 Gain access to the victim by using cutting and prying equipment if necessary.

STEP 2 Assess the condition of the victim and maintain life-support.

STEP 3 Apply and keep traction on the victim's head.

STEP 4 Apply a **cervical collar.**

STEP 5 Position a short spine board.

STEP 6 Strap the victim's head and chin to the spine board.

STEP 7 Strap the victim's body to the spine board.

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cervical (collar): collar to support the neck.

STEP 8 Remove the victim from the vehicle and place on a long board.

STEP 9 Strap the victim and the short spine board to a long board.

STEP 10 Carry the victim carefully to an ambulance.

Rescuing a Victim from an Electrical Source

Situation Assessment

The source of electricity must be found quickly. Downed or bare wires and defective appliances are the usual causes of electrical injuries.

Victim Assessment

- Start victim assessment as soon as the electrical source has been removed.
- Give priority to an assessment of the respiratory system.
- Start CPR immediately if your assessment indicates the need.

Victim Transfer

Rescuers must wear rubber gloves, stand on insulated materials, and use insulated devices to remove wires, appliances, etc., away from the victim. **Direct contact between the ground and the victim touching the live circuit must not be made.** Guidelines for rescuing victims from electrical sources are:

- Shut off the power source. This may be done simply by unplugging the appliance, shutting off the main switch in a building, or by calling the power company if a line is down.
- Do not touch the victim without protection: wrap hands in insulated material or wear rubber gloves, and use insulated rescue devices.
- Push the victim with an insulated device.
- Do not stand in water.

Summary

The common elements of rescue, whether from man-made or natural disasters, include the use of rescue tactics and equipment, victim assessment, triage, and making decisions on the best methods of transfer.

The procedures for **victim assessment** include these 4 steps:

STEP 1 Search for life-threatening conditions:

- Clear the airway if needed.
- Feel the **carotid** pulse for force.

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- Examine for external bleeding.
- Check pupils.
- Observe skin color.

STEP 2 Remove victim from hazardous conditions such as traffic, electrical wires, or fire.

STEP 3 Determine vital signs: pulse and respiration rates, blood pressure, and oral temperature.

STEP 4 Communicate necessary information to medical assistance facility where victim will be taken.

The priorities of the **triage** procedure for determining which victims are to be transported to a medical facility are:

- First priority: Respiratory difficulties, cardiac difficulties, severe bleeding, severe head injuries, open chest or abdominal wounds, or severe shock.
- Second priority: Burns, severe fractures, or back injuries.
- Third priority: Minor fractures and persons obviously dead.

Victims of a disaster must sometimes be moved short distances at ground level to safer locations. The situation will determine the type of transfer to be used. The **across-chest pull** may be used if the distance is short; if the victim is too seriously injured, the **blanket carry** should be used. Other methods of transfer are: the **fireman's drag,** the **fireman's carry,** and the **pack-strap carry. Stretcher carries** and **long backboard** transfers should be used for seriously injured victims and especially if **spinal injury** is suspected. Spinal damage is likely if the damage to the vehicle in a wreck is severe; and, whenever possible, an EMT Certified Paramedic should be in charge of the rescue procedure when spinal injury is likely.

If a victim has sustained an **electrical shock**, the electrical source must be found quickly and direct contact must not be made between the ground and a victim who is touching a live circuit. Rescuers must wear rubber gloves, use insulated materials to stand on, and remove the electrical source from the victim with insulated devices. The victim's respiratory system must be assessed first and CPR started immediately if needed.

Now complete the review questions beginning on the next page.

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Review Questions (V: F-2)

Write your answers on a separate sheet of paper.

1. The elements of rescue which are common to all types of disasters are: (Choose **all** correct answers.)

   a. victim assessment and triage.
   b. tactics and equipment.
   c. search for source of obstruction.
   d. decision on method of transfer.

2. List the 4 steps of victim assessment in the correct order.

3. Which of the following are hazardous conditions which may require the immediate removal of victims? (Choose **all** correct answers.)

   a. fire and smoke
   b. high level
   c. electrical
   d. traffic

4. List the 4 vital signs which must be determined as soon as possible.

5. List the 6 items of information that should be communicated to the nearest emergency medical facility where a victim is to be transferred.

6. Triage means:

   a. any order in which victims are transported to a medical facility.
   b. the selection of methods for transferring victims to a medical facility.
   c. to assign medical facilities to a priority order.
   d. to sort out in a priority system the order in which victims will be transported to medical facilities.

7. Which of the following conditions are first-priority in the triage philosophy? (Choose **all** correct answers.)

   a. burns
   b. cardiac difficulties
   c. open chest or abdominal wounds
   d. back injuries

8. Which of the following conditions are second-priority in the triage philosophy? (Choose **all** correct answers.)

   a. severe fractures
   b. severe shock
   c. back injuries
   d. severe head injuries

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9. For which short-distance transfer methods are the victim's wrists tied together?

   a. across-chest pull
   b. fireman's carry
   c. fireman's drag
   d. backboard pull

10. For which short distance transfer do you place the victim behind you with his/her arms around your neck and grasp the victim's wrists with one of your hands as you lift and carry the victim to safety?

   a. fireman's carry
   b. pack-strap carry
   c. fireman's drag
   d. across-chest pull

11. When rescuing a seriously injured person: (Choose the correct phrase to complete the statement.)

   a. only a basket stretcher should be used.
   b. a two-man loading team is the best method.
   c. a technique for loading varies with the type of stretcher.
   d. a four-man loading team is the best method.

12. If a spinal injury is suspected: (Choose **all** correct statements.)

   a. an EMT Certified Paramedic should secure the victim to the long backboard.
   b. three assistants are required to help the paramedic.
   c. the EMT Paramedic applies traction by pulling the legs of the victim.
   d. immobilization should not restrict body movement.

13. When rescuing a victim from vehicular wreckage: (Choose the correct phrase to complete the statement.)

   a. traction should be applied to the victim's legs.
   b. spinal injury is likely when the vehicle damage is severe.
   c. the victim is strapped to a long backboard before being removed from the vehicle.
   d. victim should be removed from the vehicle immediately.

14. When rescuing a victim from an electrical source: (Choose **all** correct answers.)

   a. rescuers must free the victim before taking time to find the power source.
   b. rescuers must wear rubber gloves.
   c. rescuers must use insulated devices to remove fires from the victim.
   d. rescuers must stand on the ground to prevent direct contact.

15. The usual causes of injury from electricity are: (Choose all correct answers.)

   a. downed wires.
   b. lightning.
   c. defective appliances.
   d. bare wires.

Check your answers with the correct ones provided in the answer key.

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Block V: Proficiency Skills
Unit F: Rescue Tactics
Section 3: Vertical Rescue Tactics

Ask your instructor for the pretest for this section (V: F-3). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

As urban living, working, and business structures are built higher, the need for vertical rescue tactics increases. Fire and smoke disasters in hotels, condominiums, apartments, and business buildings are common. Other problems which can occur at high levels include sniper attack, bombing of structures, hostage seizures, and other terrorist activities which may require rescue by special response teams.

Rappelling, which was originally a mountaineering skill, is now becoming a basic skill requirement for police, rescue, and other special response teams because of these conditions. Since external escape mechanisms are not included in high-rise building designs, it may become necessary for citizens who live or work in high-rise structures to acquire these skills.

Rappelling is a method of making vertical descents from high to low levels. Rappelling to escape or to assist others to escape disaster conditions is the subject of this section. In Section 1, you learned about the rescue equipment which is used in these vertical rescue tactics.

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Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Define the term "rappelling."
2. Describe the best type of rope for rappelling lines.
3. List the equipment required in rappelling.
4. Explain how the rappelling line is secured at the anchor point.
5. Identify the voice signals given by the rappeller and belay team before they start the descent.
6. Explain how the rappeller controls the rate of descent.
7. Explain how the belay team can control the rate of descent.
8. Explain who controls the descent rate as well as how is it controlled when casualties and stretcher patients must be lowered.
9. Describe two ways in which uninjured persons may be lowered to safety.
10. Identify three items of equipment which are needed to make a vertical ascent and explain how they are used.

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Basic Rappelling

Rappelling is a method of making **vertical descents.** Rappelling techniques are used in **high-level rescues,** either as a **means of escape from high-level hazards** or as a part of **assault tactics.** In some rescue cases an inclined, rather than a strictly vertical, descent must be made. Some rescue situations require the rappeller to pick up another person at one level and continue the descent to a lower level with two persons on the rappelling line. In other cases, a victim on a stretcher can be lowered from a higher to a lower level with only the belay (ground) crew having control. The rappelling method can be tailored to nearly any rescue situation which requires a vertical descent.

Equipment

The following four items are essential equipment for rappelling. You have already learned about most of these items in Section 1, Rescue Equipment, but the information given here concerns their rappelling uses only.

Rope. The rappelling line should:

- be 1/2-inch nylon
- be 120 feet long
- have at least a 3,000-pound breaking strength
- have 1/3 stretch factor
- be used as double line in training situations.

Harness or Seat. Fire rescue units have special web seats and hook-type carabiners. SWAT teams and police rescue teams are currently using the mountain climber's rope (Swiss) seats and carabiners. The rope (Swiss) seat requires only a 12-foot length of 1/2-inch nylon rope. It is lighter, less bulky, better suited for improvisations, and less expensive.

Carabiner or Snap Link. The mountaineering type carabiner is made of steel or aluminum alloy and should meet the 2,000 pound test when closed. It opens with a gate to accept the rappelling line. There are **two basic types,** locking and non-locking. **Non-locking** types are used in situations where it is necessary to free oneself quickly. The **locking** types are recommended for all training situations since **they are safer.** Carabiners were illustrated in Section 1.

Gloves. Rappelling without gloves will result in serious rope burns to the hands. Leather work-type gloves are satisfactory, but two sets of gloves, an inner and an outer pair, should be worn. Heavy cloth inner gloves combined with leather outer gloves are recommended. In SWAT team operations, the leather or fabric of the trigger finger is cut off. However, this should **not** be done in school training when you are only learning the techniques of rappelling.

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Securing Lines and Hooking Up

Rappelling Lines. Before lines can be used to make a descent, they must be properly secured by these six steps.

STEP 1 Pad the anchor point (may be a chimney, column, or any substantial anchor place).

STEP 2 Wrap the rope twice around the anchor point.

STEP 3 Tie with a bowline knot and two half-hitches.

STEP 4 Secure end with a snap link.

STEP 5 Drop the double lines down the side of the building.

STEP 6 Take up any slack.

NOTE: Always use double lines for safety during training.

Rigging the Swiss Seat. To rig the Swiss seat you must complete these 10 steps:

STEP 1 Find the center point of a 12-foot line.

STEP 2 Place the center point on the left hip.

STEP 3 Bring the ends around the body and tie an overhand knot in front, just below the waist level (center of gravity).

STEP 4 Bring the ends through the crotch and then up through the waist rope on each side.

STEP 5 Squat and pull the ropes up tight.

STEP 6 Bring the ends through the leg ropes from the rear forward, forming a half hitch on each hip.

STEP 7 Bring the right ends around to the left side and tie both ends at the left side with a square knot.

STEP 8 Place the loose ends in a pocket or tuck them under the rope on your left side.

STEP 9 Hold the carabiner open end up; open the gate away from you.

STEP 10 Bring the carabiner down and over both waist ropes and then revolve it back to the starting position.

Figure F-3-1 illustrates how the carabiner should look when it is properly hooked to the two waist ropes.

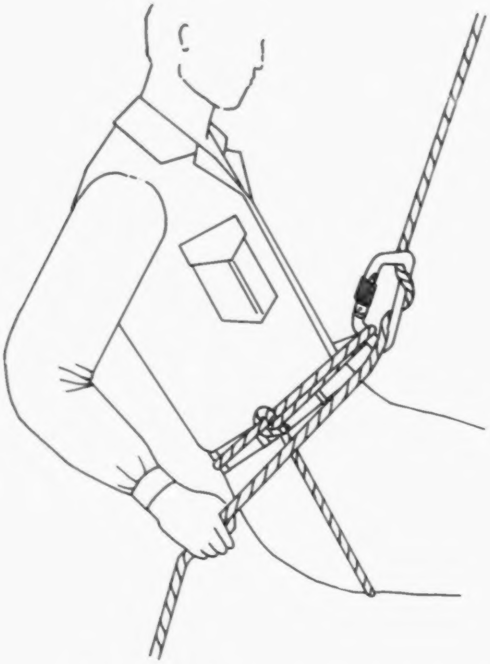


Figure F-3-1
Using Carabiner to Hook Swiss Seat to Rappelling Line

Hooking Up to the Rappelling Line. Now that you have rigged yourself in the Swiss seat, these six steps will enable you to hook yourself up to the rappelling line:

STEP 1 Stand with your left side towards the rappelling line.

STEP 2 Lay the rappelling lines in the carabiner, left to right.

STEP 3 Take a loop from the rappelling line above the carabiner, passing it underneath and then through the carabiner.

STEP 4 The left hand should be used as the guide hand on the rappelling line.

STEP 5 The right hand is the brake hand and should be placed in the small of the back.

STEP 6 Grasp or twist the rappelling line with the brake hand to slow the rate of descent or to stop.

NOTE: The brake hand may become caught in the carabiner if it is not kept in the small of the back.

Figure F-3-1 also illustrates the hook-up of the rappelling lines to the carabiner and the position of the brake (right) hand.

Starting the Descent

Window Descent. The technique for making a descent from a window involves these eight steps:

STEP 1 Sit or stand on the window ledge.

STEP 2 Take up the slack between the carabiner and the anchor point.

STEP 3 Be sure there is no slack between the carabiner and the guide hand.

STEP 4 Sound off loudly "On rappel" and listen for the answer of "On belay."

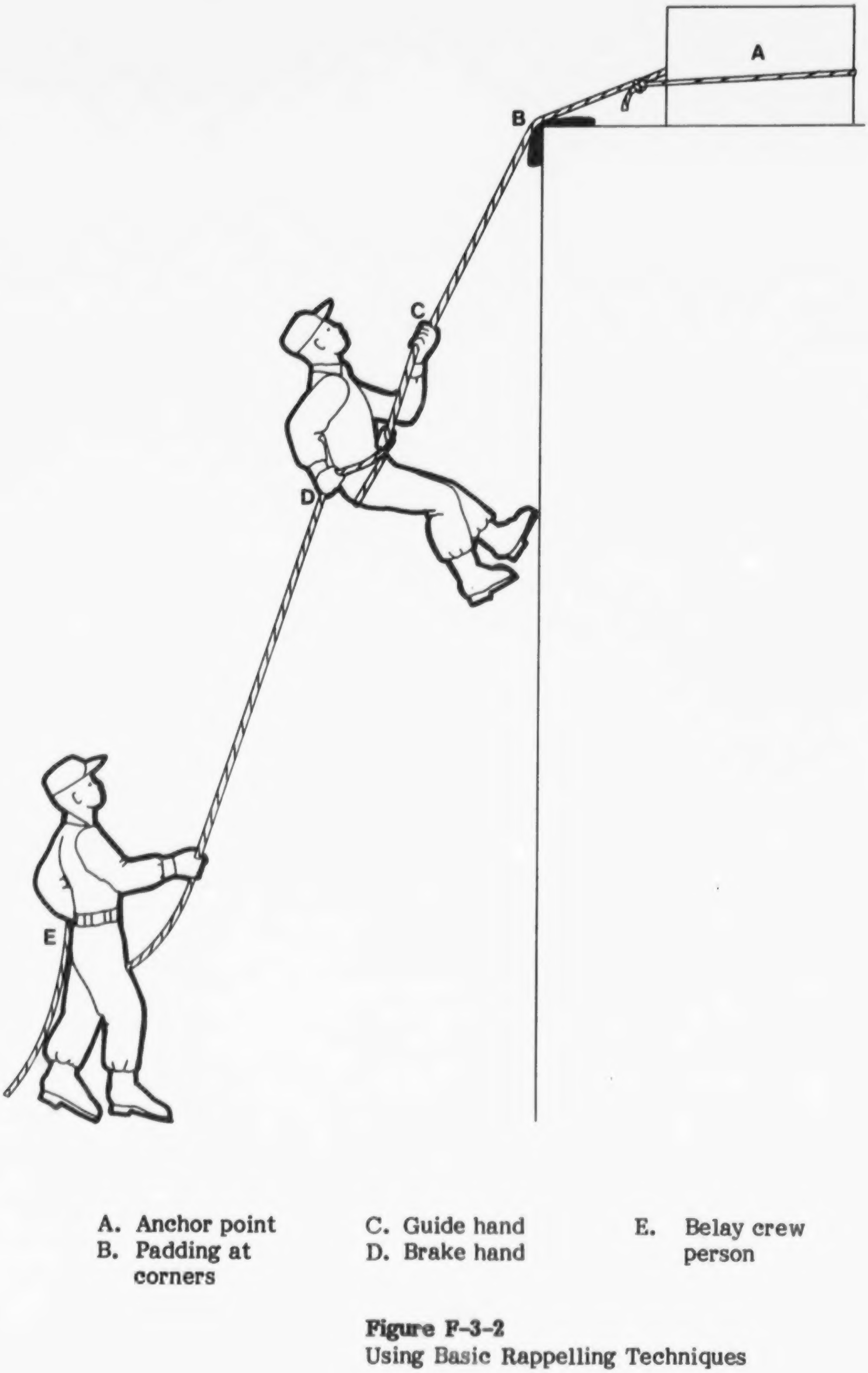
STEP 5 Ease out onto the wall.

STEP 6 Lean back, legs parallel to the ground.

STEP 7 Slowly release brake hand pressure.

STEP 8 Walk down the wall slowly at first; later you may use short leaps and bounds. Avoid unnecessary "hot dogging."

Figure F-3-2 illustrates basic rappelling with a belay person assisting.



A. Anchor point
B. Padding at corners
C. Guide hand
D. Brake hand
E. Belay crew person

Figure F-3-2
Using Basic Rappelling Techniques

Roof or Ledge Descents. When the rescue requires a descent from a roof or ledge, the following seven steps should be used:

STEP 1 Use the same signal of "On rappel" and wait for response from the belay crew.

STEP 2 Back up to the edge, taking up slack and stretch.

STEP 3 Place heels over the edge.

STEP 4 Let out the rope until it is parallel to the ground.

STEP 5 Take a quick step to get positioned on the wall.

STEP 6 Release brake hand pressure.

STEP 7 Descend as instructed in "Window Descent."

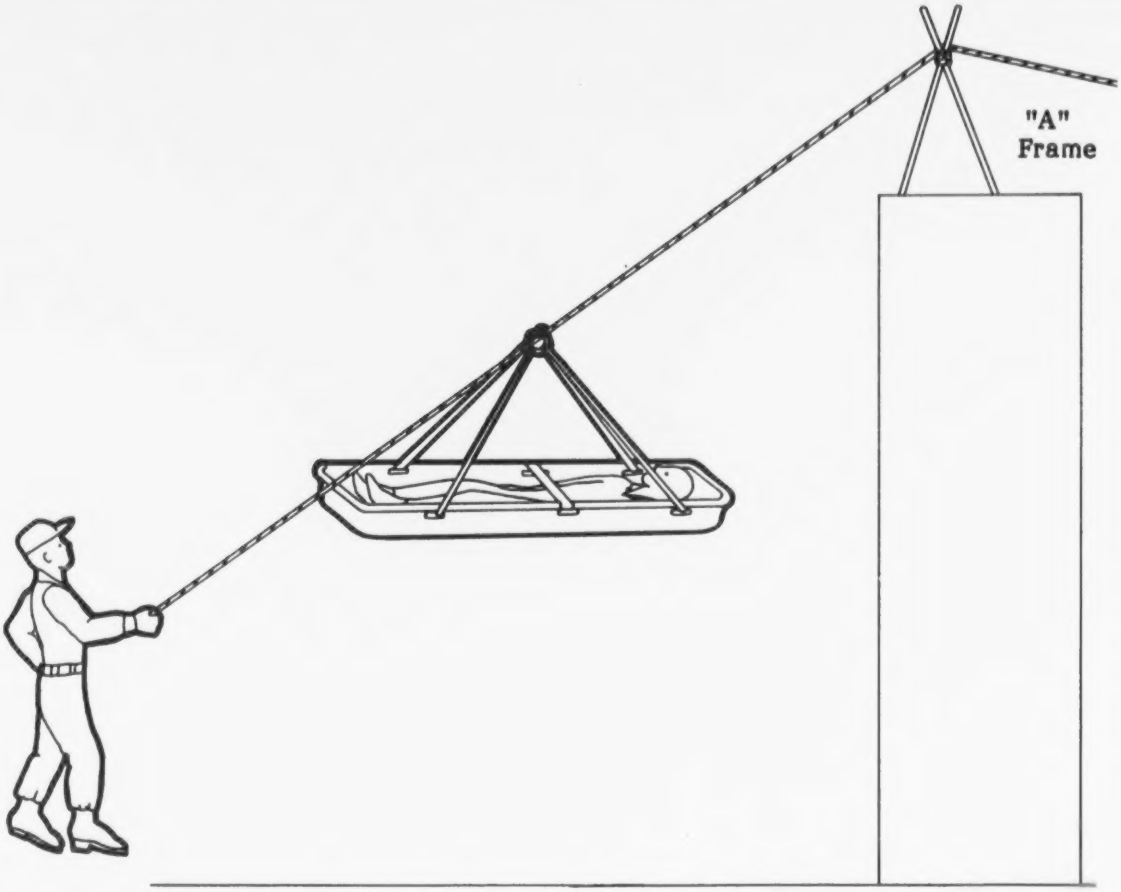
Belay Team Duties

The belay team or person is stationed on the lower level and has very specific duties which provide support for the rappeller, a casualty in harness, or a stretcher patient.

In Support of Rappeller. The person on belay provides security for the one on rappel. S(he) can take control by tightening the line and lowering the rappeller slowly by relaxing the grip on the line. S(he) has the same degree of control as the rappeller would normally have. While the rappeller has control, the belay person holds the line loosely, allowing enough slack so that the movements of the rappeller are not restricted. The belay person or team takes control only if the rappeller loses control. Figure F-3-2 also illustrates a belay person at work.

In Support of Casualties in Harness. In emergency rescues, an unconscious, weak, or frightened victim can be secured by using an improvised harness or bosuns chair on a rappelling line with a carabiner. In this situation, control of the descent must be turned over entirely to the belay team. This procedure will be explained further in "Rappelling Rescues."

In Support of Stretcher Patients. When a stretcher patient must be lowered with a rappelling line, the top crew should secure the stretcher suspension harness to the line with a carabiner, and ease the patient out while the belay team takes control and lowers the patient. Figure F-3-3 illustrates the lowering of a stretcher patient by a belay person.



Rappelling Rescues (Descents)

Figure F-3-3
Lowering Stretcher Patient
on Rappelling Line

Casualties in Harness

The basic rappelling techniques can be applied when the person who must descend cannot control their descent rate. In these cases, the belay team controls and lowers the person who may be secured to the rappelling line in one of the following methods:

Swiss Seat. Conscious persons who are not familiar with rappelling techniques can be rigged into a Swiss seat, hooked up to the rappelling line, and safely lowered with the belay team controlling their descent. If possible, an "A" frame, as illustrated in Figure F-3-3, should be rigged to provide vertical clearance and to help get the casualty into position on the wall.

Bosuns Chair. A bosuns chair is a board rigged with 4 suspension ropes, much like a rope swing seat. The bosuns chair was illustrated in Section 1, "Rescue Equipment." An "A" frame should be rigged at the top to provide vertical clearance for the bosuns chair.

The person to be rescued should be placed in a sitting position in the bosuns chair, and a carabiner should be linked from the suspension point of the seat ropes onto the rappelling line. The top crew then assists the person while the belay crew tightens the line, which should be inclined at a sufficient angle to pull the victim from the window or roof. The belay crew will control the descent as shown in Figure F-3-3 with a stretcher patient.

Improvised Harness. Ordinary chairs can be rigged like a bosuns chair in emergencies. Clothes lines, belts, bed sheets, blankets, etc., can also be used as emergency harnesses if necessary. All of these must be improvised so that they have a suspension point to which a carabiner can be fastened. Then the same procedure that was used for the Swiss seat and bosuns chair can be followed. In all improvised harness descents, the belay team controls the descent.

Stretcher Patients

Basket Stretcher. The basket stretcher is the best type to use in rappelling rescues. It comes equipped with a suspension harness and ring. The patient can be strapped into the stretcher securely and lowered in a horizontal or vertical position. An "A" frame is rigged at the top of the rappelling line to provide vertical clearance for the stretcher while it is being positioned. A carabiner should be fastened from the suspension ring to the rappelling line. The belay team should take position far enough back to incline the line so as to permit the patient and stretcher to swing clear of the top and the wall when the line is tightened. The belay team then controls the descent as shown in Figure F-3-3.

Improvised Stretchers. A standard long backboard can easily be rigged with a suspension harness since it has carrying slots around the edge. Once the backboard is rigged with a harness, the lowering technique is the same as that used for the basket stretcher.

Other items that can be rigged with a suspension harness and carabiner include doors, ironing boards, cots, planks, etc. In emergency situations, you must use whatever is available.

Uninjured Persons

Lap Position. If the person to be rescued is not injured, s(he) can be instructed to sit in the rappeller's lap, face-to-face, so that the two bodies can counterbalance each other. The rappeller can then continue the descent.

A typical example is a person who is forced out onto a window or ledge by smoke or fire. The rappeller descends from the roof or a window above, picks up the victim as described, and continues the descent.

Suspended Position. A good item of rescue equipment is an 8- or 10-foot length of rope with a loop in each end (preferably an eye-spliced loop). It can be substituted for a bosuns chair, using the two ends as a suspension device, and it may be fastened to the rappeller's carabiner with another carabiner. The person being rescued should be suspended below the rappeller, sitting in the doubled rope like a swing. In emergency situations, a person to be rescued may simply hold onto the rappeller's harness or Swiss seat and ride down with the rappeller.

Vertical Ascents

If it is necessary to put a rope above a person to be rescued, to provide a "down line" for escape, or to make a vertical ascent for any reason, using the grapnel (or grappling hook) provides the most practical method. The grapnel is a hook or anchor with either 3 or 4 prongs. (See illustration in Section 1, "Rescue Equipment.") Once the grapnel has been positioned securely, the ascent can be made on a knotted rope or rope ladder.

Equipment

Grapnel and Knotted Rope.

Throwing the Grapnel

The distance a grapnel, or grappling hook, can be thrown is only limited by the weight of the grapnel and by the throwing skill of the rescuer. For rescue work the light aluminum alloy grapnel is better than the heavier marine type.

The grapnel must be thrown to a place where it will catch and hold firmly, such as a window or roof wall. Two persons should put their weight on the rope at the bottom to test the set of the hook before an ascent or descent is attempted.

The Rope

For climbing purposes, the rope should have figure eight knots in it every 8 to 10 inches. A two-person belay crew should put their weight at the base of the rope if it is to be climbed. A tight rope is easier to climb than a loose one.

The Rope Ladder. If a team is to make an ascent to a higher level loaded with equipment, it is impractical for all of them to attempt a knotted-rope climb. Such climbs are difficult enough without the added weight of equipment, so using a rope ladder is more practical and efficient.

First Person Up

The first person up should be agile and strong. S(he) goes up without equipment, except for a light line tied around the waist and fastened to the rope ladder. When the first person reaches the top, s(he) should pull up the rope ladder and secure it.

The Ladder Climb

When the rope ladder has been well-secured at the top, a two-person belay team must put their full weight at the bottom while each member of the team makes the climb individually.

Summary

With more and more high-rise buildings being constructed in our cities, the need for disaster skills is increasing. **Rappelling**, a method of making vertical descents from higher to lower levels, is used for escaping or assisting others to escape disaster conditions.

One-half inch, 3,000-pound test nylon rope with a 1/3 stretch factor is the best type to use for rappelling lines. Other important equipment required by rappelling teams are **harnesses or seats** of various types, **carabiners** or snap links, and **gloves.**

Rappelling lines must be secured by wrapping the line twice around a well-padded anchor point, tying it with **bowline** and two **half-hitch** knots, and securing the end with a snap link or carabiner.

The person on **belay** at the lower level provides security for the one on rappel, taking control only when the rappeller loses it. When the rappeller has secured the rappelling line and has the seat or harness properly hooked to the line, s(he) sounds off loudly "On rappel" and listens for the answer "On belay" from the team or person below, and the descent begins.

The rappeller's **left hand** is the **guide hand** on the rappelling line. The **right hand** is the **brake hand** and should be placed in the small of the rappeller's back. To stop or control the rate of descent, the rappeller grasps or twists the rappelling line with the brake hand. The belay person can take control by tightening the line from below, and then lowering the rappeller slowly by relaxing the grip on the line.

In an emergency rescue, an injured, unconscious, weak, or frightened victim may be placed in a seat, harness, chair, or on a board or stretcher, which is secured to a rappelling line by a carabiner and which can be lowered to safety by the belay person or team. Uninjured persons may be lowered while sitting face-to-face in the rappeller's lap or sitting in a rope swing suspended below the rappeller.

If it is necessary to make a vertical ascent for any reason, using a **grapnel** (grappling hook or anchor) provides the most practical method. The grapnel is thrown to the level which must be reached and a rope, which should have **figure eight** knots tied in it every 8 to 10 inches, is used for climbing. If a rescue team has to make the ascent, using a rope ladder is more practical and efficient.

Now complete the review questions beginning on the next page.

Review Questions (V: F-3)

Write your answers on a separate sheet of paper.

1. Rappelling is used for: (Choose **all** correct answers.)

   a. high-level rescues.
   b. vertical ascents.
   c. escape from high-level hazards.
   d. assault tactics.

2. A rappelling line should: (Choose **all** correct answers.)

   a. be 100 feet long.
   b. be made of 1/2-inch nylon.
   c. have 2,000-pound breaking strength.
   d. have a 1/3 stretch factor.

3. List the **four** major equipment requirements for rappelling.

4. List the letters **a-f** on your paper, then arrange the following steps for securing a rappelling line in correct order by writing **1** next to the letter for the first step, **2** for the second, and so on.

   a. Secure end with snap link.
   b. Pad the anchor point.
   c. Take up any slack.
   d. Wrap the rope twice around the anchor point.
   e. Tie with bowline and two half-hitches.
   f. Drop the line down the side of the building.

5. What is the signal given by the rappeller when ready to descend?

   What is the response by the belay team?

6. The rappeller controls the rate of descent by: (Choose **all** correct answers.)

   a. right hand grasping rappel line in front.
   b. right hand grasping line in small of back.
   c. left hand grasping line in small of back.
   d. twisting line to stop or slow descent rate.

7. The belay team can control the rate of descent by: (Choose **all** correct answers.)

   a. tightening the rappelling line.
   b. loosening the line.
   c. relaxing the grip on the line.
   d. tightening the grip on the line.

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8. When lowering stretcher patients, the descent rate is controlled by:

   a. the top crew.
   b. the belay team.
   c. the patient.
   d. the top crew and the belay team.

9. When preparing to lower a stretcher patient, rigging an "A" frame will provide:

   a. shelter for the stretcher patient.
   b. vertical clearance for the stretcher.
   c. a landing spot for the stretcher.
   d. horizontal clearance for the stretcher.

10. Which of the following are ways an uninjured person may be lowered to safety? (Choose **all** correct answers.)

    a. lap position
    b. down-line position
    c. grapnel position
    d. suspended position

11. To put a rope above a person to be rescued, which of the following items of equipment would be used?

    a. bosuns chair
    b. grapnel
    c. rappeller's harness
    d. "A" frame

12. If a rescue team is needed on top of a three-story building, which one of the following items of equipment would be most practical for an ascent?

    a. knotted rope
    b. rappelling line
    c. rope ladder
    d. harness

Check your answers with the correct ones provided in the answer key.

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Block V: Proficiency Skills
Unit F: Rescue Tactics
Section 4: Highline Transfers

Ask your instructor for the pretest for this section (V: F-4). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

During SWAT team or rescue operations there is often a need to transfer personnel from one level to another. The availability of a safe zone will vary with each situation. The transfer could be made horizontally or at an angle. Transfer problems might be faced by a SWAT team which needs to gain a favorable position for assault operations against snipers, hostage holders, terrorists, or others engaged in criminal activities.

This topic will present some basic rigging solutions for the transfer of personnel from one level to the same or a lower level by a horizontal or an inclined highline. These techniques may have to be modified for use in actual situations.

The knowledge you have gained regarding rescue equipment and its use will be applied to the procedures of highline transfers in this section. As with all of the proficiency skills, your ability to perform effectively and efficiently is directly related to the maintenance of your physical fitness. Your fitness program must be continued throughout your career.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Define the term "highline transfer."
2. Describe two types of tightrope crawls.
3. Describe the polyester highline method.
4. Identify the advantage of inclined rigs over horizontal rigs in highline transfers.
5. Describe the functions of the "A" frame in rigging a highline for rescue operations.
6. Describe the procedure for transfer from one building to a lower building.
7. Describe the procedure for transfer from building to ground.
8. Explain why the termination point in transfers to ground level should be at a rope between two points.

Horizontal Transfers

During assault or rescue operations there is often a need to move from one building to another. This can be accomplished either from the top of a building or from one window to another. The tactical situation, or fire and smoke, may prohibit using the stairways in either building. In field situations you also may have to cross obstacles such as streams, crevices, pits, etc. If it is not possible to rig an inclined line, you may have to use a horizontal line. By using a grappling hook and rope, you can apply the following techniques to the situation. The distance to be spanned will determine whether the hook can be thrown by hand or if you must use a line-throwing gun or shock-cord sling. In this section, we will assume that the distance involved will permit hand throwing. The tactics remain the same if a line-throwing device must be used.

Tightrope Crawls

A tightrope may be used in rescue efforts to connect two points at the same level using these three steps:

STEP 1 Throw the grappling hook across to a roof or window so that the hook is firmly set. Figure F-4-1 illustrates the grappling hook being thrown from one rooftop to another.

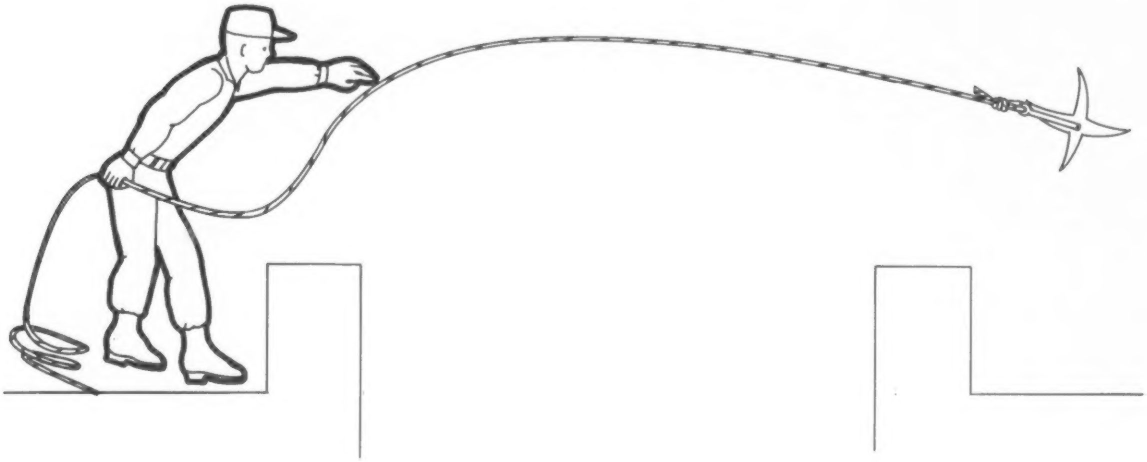

Figure F-4-1
Throwing the Hook

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STEP 2 Pull the rope as tight as possible with the aid of several people or through the use of a block and tackle.

STEP 3 Secure the rope well at an anchor point. In Figure F-4-2, a post or column is being used as an anchor. **The rope must be pulled tight.**

Once the rope is pulled taut, the rescuer may cross it using the abdominal crawl or the underslung crawl.

Abdominal Crawl. To achieve the face-down abdominal crawl:

- Snap the carabiner (which should be rigged with the rescuer's Swiss seat or belt) onto the line for safety.
- Lay out on the rope and hook the instep of one foot over the rope as shown in Figures F-4-2 and F-4-3. The other leg should hang free acting as a pendulum to help maintain balance.
- Move forward by drawing the foot which is on the rope up close to the buttocks, while reaching forward with the hands. Then push with the foot and pull with the hands; repeat these movements all the way across the rope.

NOTE: In SWAT team operations, such as hostage rescues or in any situation where hostile action can be expected, using a face-down approach will give you a better field of observation.

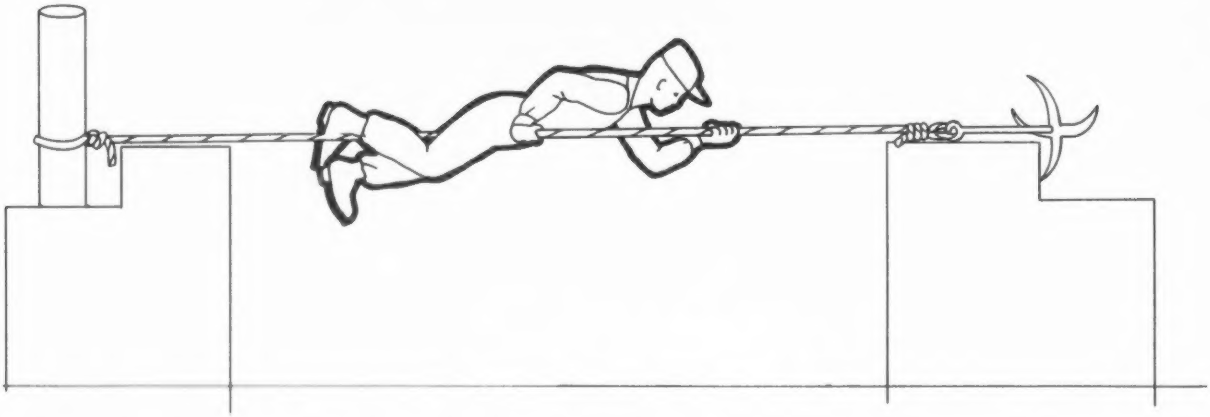

Figure F-4-2
Using the Abdominal Crawl on a Tightrope

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Figure F-4-3 shows a bottom view of a rescuer using the abdominal crawl on a tightrope.

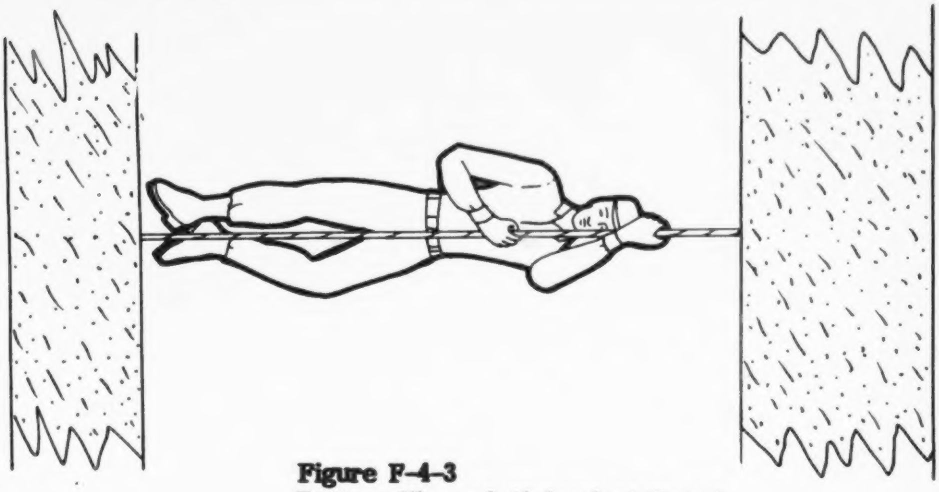

Figure F-4-3
Bottom View of Abdominal Crawl

The Abdominal Crawl technique requires **good balance** and **a great deal of practice** to keep from swinging down into the "underslung" position. If you fall into the underslung position, lock one leg over the rope, swing the other leg high, then swing the leg down with force. On the down stroke, swing back up into the original face-down position. Figure F-4-4 illustrates this technique.

The first person across must depend upon the hook being well "set," but when s(he) has reached safety, s(he) should secure the line by tying a safe line from the hook to a better anchor point to ensure a safe crossing for the others.

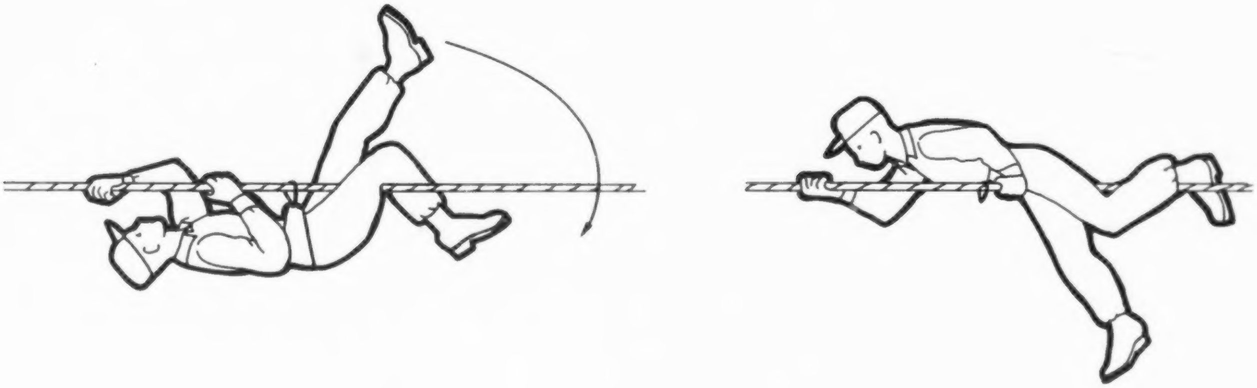

Figure F-4-4
Recovering from Falling into the Underslung Position

There is a critical point when the first person arrives near the place where the hook is set. At this point the downward weight of the person is most likely to cause the hook to disengage if it is not firmly set. Figure F-4-5 shows a rescuer at this critical point securing the line with a safe line.

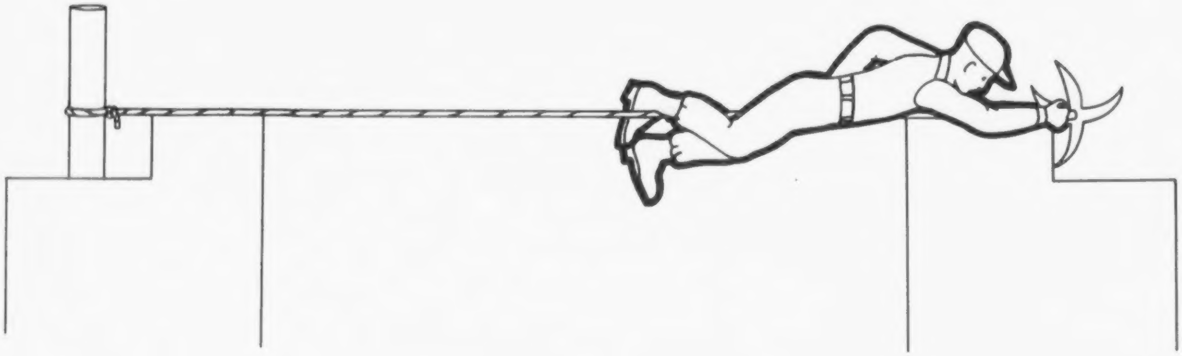

Figure F-4-5
Securing the Tightrope with a Safe Line

Underslung Crawl. In rescue missions where it is not as important to maintain a field of observation, the underslung crawl may be used. Figure F-4-6 illustrates the position to use in the underslung crawl:

- Fasten a single snatch block or carabiner to the Swiss seat or belt and snap the block or carabiner into position on the tight line.

- Cross in the underslung position, with hands pulling and feet pushing until you reach the other side.

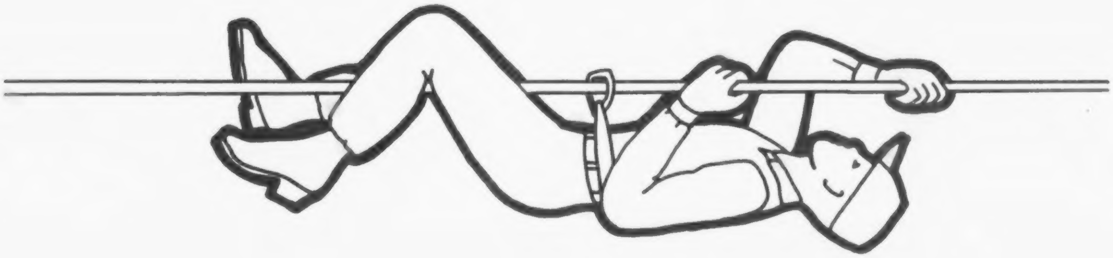

Figure F-4-6
Using the Underslung Crawl on a Tightrope

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If there are inexperienced persons who must be transferred, the first rescuer across should provide vertical clearance with an "A" frame or else secure the line at a higher anchor point. If this is not done, the **danger of downward weight disengaging the hook** is increased, which can be very risky.

Polyester Highline Method

When the rescue problem requires the transfer of many people from one building to another on a horizontal plane, the polyester highline method is the most practical. Polyester (Dacron) is used because it is less elastic than other ropes. The line must stay tight and nylon permits too much slack. In Figure F-4-7, the polyester highline method as used for building-to-building movement is illustrated. The procedure is explained in the steps that follow.

If the situation is a rescue operation, it is usually possible to have a rigging team at both transfer points.

The **departure point** will be referred to as the "DZ" (Danger Zone).

The **arrival point** will be referred to as the "SZ" (Safe Zone).

If the distance is short, the DZ team can throw a light line weighted with a **monkey's fist** across to the SZ team. (A line can be thrown a considerable distance this way if the line is held so that it uncoils naturally and doesn't foul or tangle on the way.)

If the distance is too great for this method, a line-throwing gun can be used. The polyester highline method can be accomplished by following these 8 steps:

STEP 1 A light line is propelled across using a monkey's fist or line-throwing gun, and the polyester line is fastened to the light line and pulled across in either case.

STEP 2 The DZ crew reeves their end of the polyester line through a "trolley block," then anchors the end securely at point E in Figure F-4-7. The highline must be a minimum of 5/8-inch diameter.

STEP 3 The SZ crew now reeves the line through a snatch block anchored at point F on the diagram. Now the end of the mainline is rigged to a block and tackle, pulled up tight, and secured to a solid anchor point.

STEP 4 Both teams rig an "A" frame near the edge of the building as shown at H-1 and H-2. This provides vertical clearance for securing the victims to the mainline.

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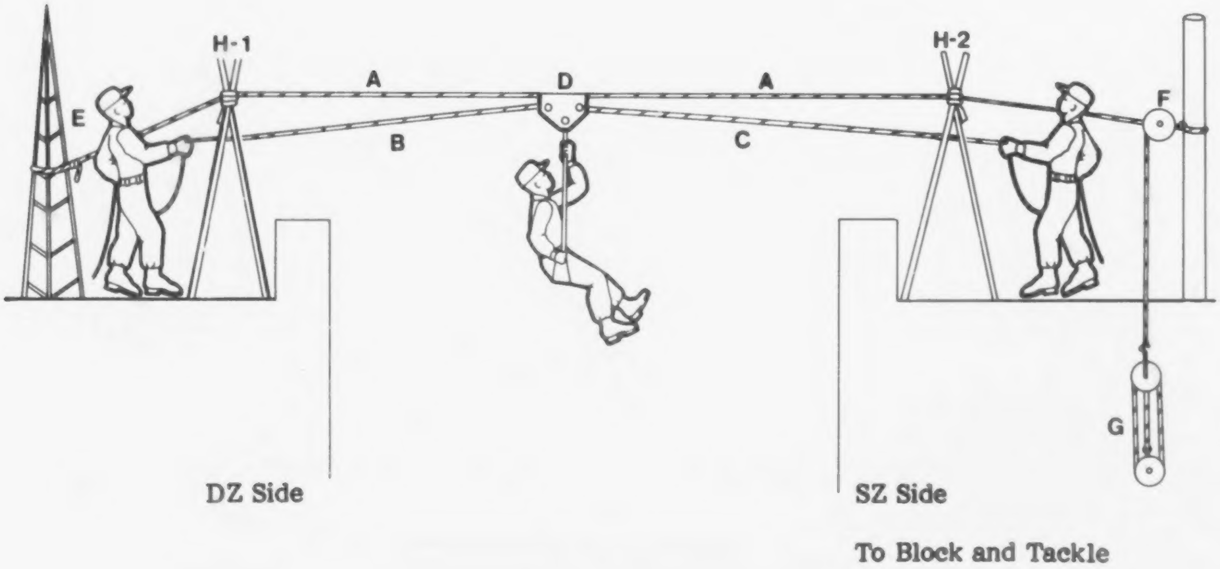
monkey's fist: a large heavy knot resembling a Turk's head knot which is used to weight the end of a heaving line.



DZ	Danger Zone—building or level from which rescue is to be made.
SZ	Safe Zone—building, ground, or level to which the victims will be transferred.
A	Polyester (Dacron) highline
B	Outhaul
C	Inhaul
D	Trolley block
E	Anchor point (for mainline)
F	Snatch block
G	Block and tackle (tightens mainline)
H-1	"A" frame on DZ side
H-2	"A" frame on SZ side
I	Transfer seat (Swiss seat, bosuns chair, etc.)

Figure F-4-7
Polyester Highline Method Used for Building-to-Building Transfers

STEP 5 The DZ team rigs an outhaul rope (B) to the trolley block. The outhaul line can be a 1/2-inch rappelling line. Now the trolley block is taken across the highline to the SZ team. The SZ team fastens an inhaul rope (C) to the trolley block. The rig is now ready to use.

STEP 6 The DZ team now rigs the first victim to the highline. The type of seat to be used is optional. Any of the following can be used:

Swiss seat
bosuns chair
rope sling
improvised chair, etc.
basket stretcher with sling

STEP 7 The SZ team pulls the first victim across with an inhaul (C), as the DZ team pays out the outhaul (B). The victim is released from the trolley, and the DZ team pulls back the trolley block.

STEP 8 Repeat the process until all victims are rescued.

Inclined Highline Transfers

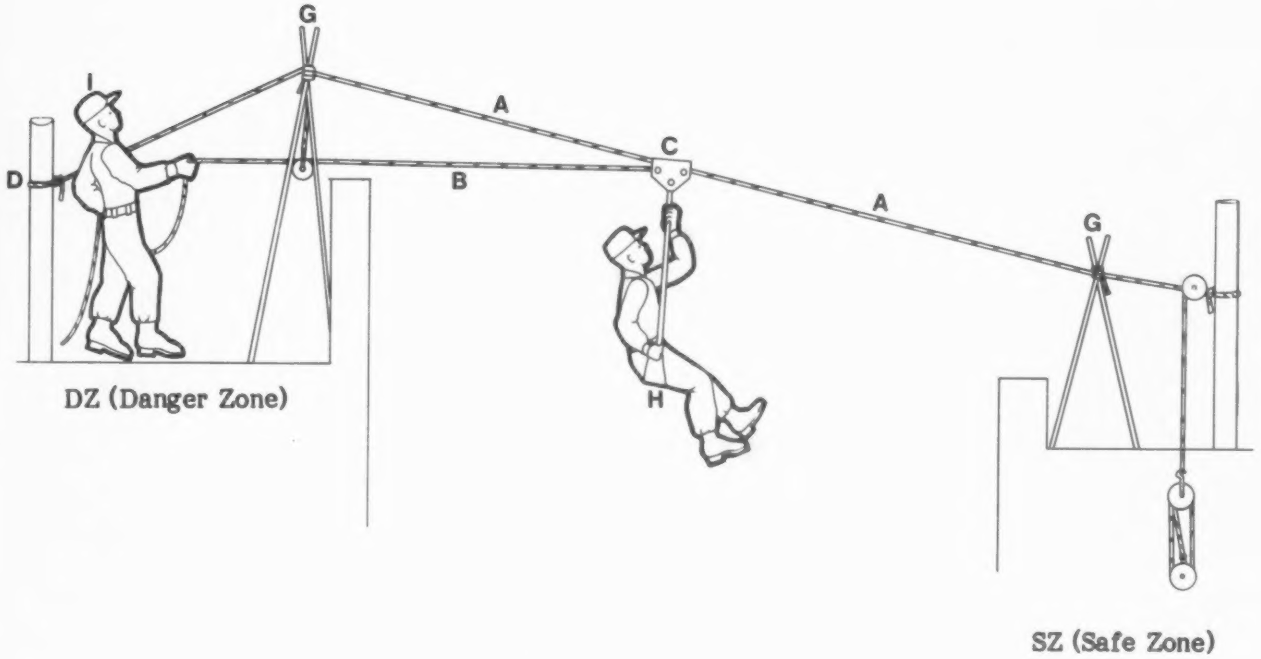
When adjoining structures or the height of the danger zone will permit it, rigging a highline on a downward incline allows you to take advantage of **gravity** in making the transfers.

If the angle of descent is small enough to permit a transfer using a trolly block and suitable seat, an inhaul line will not be necessary. The outhaul line should still be attached to the trolley block at the top of the DZ so that the trolley block can be retrieved to be used for the next person to be transferred. When the angle of descent is steep, the outhaul can be used to slow the rate of descent.

If time permits, an "A" frame should be rigged at both the DZ and SZ to provide **clearance for stretcher patients and elderly or disabled persons.** People in a state of panic from a dangerous situation cannot be expected to jump off the top of a building even though they are securely hooked to a mainline. Asking them to do this can increase the panic and cause a bottleneck in the operation since they are likely to freeze and refuse to go. The "A" frame **eliminates the need to jump** and helps to avoid this problem.

Transfer from Building to Building

Figure F-4-8 represents a transfer of victims from the top of one building (DZ) to the roof of another building at a lower level (SZ). If the situation is a rescue-type operation, it is usually possible, as we pointed out in the polyester highline method, to have a rescue team at both transfer points. The procedure involves the following ten steps:


G
I
A
C
D
B
A
G
H
DZ (Danger Zone)
SZ (Safe Zone)

A Polyester highline
B Outhaul (control line)
C Trolley block
D Anchor point (main line)
E Snatch block
F Block and tackle
G "A" frames
H Transfer seat (Swiss seat, bosuns chair, etc.)
I Belay team

Figure F-4-8
Inclined Highline Transfers

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STEP 1 A light line is propelled across and the mainline is fastened to it and pulled across. If the distance is short, the DZ team can throw a light line weighted with a monkey's fist knot across to the SZ team. If the distance is too far, a line-throwing gun must be used.

STEP 2 The DZ crew reeves their end of the polyester mainline through a trolley block (C), then anchors the end securely at point (D), as shown in the diagram. The mainline must be a minimum of 5/8-inch diameter polyester.

STEP 3 The SZ crew now reeves the mainline through a snatch block anchored at point (E) on the diagram.

STEP 4 The end of the mainline is now rigged to a block and tackle (F), pulled up tight, and secured to a solid anchor point.

STEP 5 Both teams rig "A" frames (G) to permit clearance for the person being transferred.

STEP 6 The DZ team rigs an outhaul (B) to the trolley block. This can be your 1/2-inch rappelling rope (nylon).

STEP 7 The DZ sends one of their own crew across to test and demonstrate the safety of the rig for the benefit of the victims.

STEP 8 The DZ team rigs the first victim to the mainline. The type of seat is optional and any of the following may be used:

Swiss seat
bosuns chair
rope sling
improvised chair
basket stretcher with sling

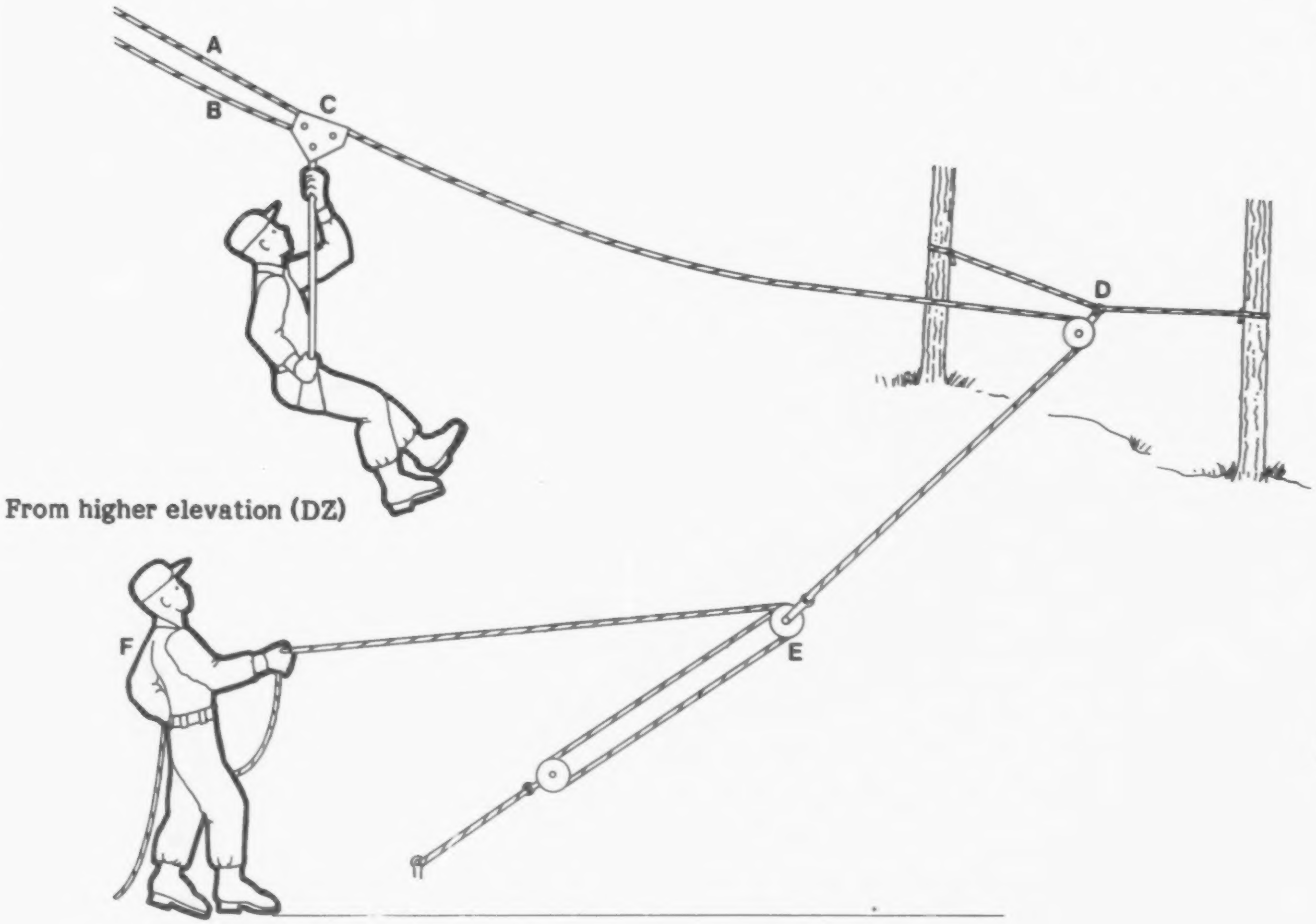
STEP 9 The trolley block carrying the victim runs down the line by gravity while the DZ team slowly feeds out the outhaul safety line (B).

STEP 10 The victim is removed at the SZ and the trolley block is retrieved by the DZ crew with the outhaul safety line. **NOTE:** The remaining victims should be transferred in the same way.

Transfer from Building to Ground

Figure F-4-9 represents a transfer rig from a higher level to the ground. A rescue team is required at the high level (DZ) and on the ground (SZ). No throwing is required in this rigging. The procedure for transferring from building to ground involves these five steps:

STEP 1 The DZ crew secures their end of the mainline, runs it through an "A" frame block, and drops the remaining line to the ground.


A
B
C
D
From higher elevation (DZ)
F
E

A	Polyester main line	D	Snatch block rigged between two trees
B	Outhaul (safety line)	E	Block and tackle to tighten main line
C	Trolley block	F	Belay team or person

Figure F-4-9
Transfer from Building to Ground

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STEP 2 The SZ crew picks up the line and takes it out to the point where they intend to rig the terminal point. If possible, the termination point should be located between two points such as two trees, two poles, etc. This can be done by using a rope between these points and terminating the mainline at the center point of the rope, as shown in Figure 4-9. Such a terminal point **permits persons to be transferred without danger of hitting a solid object** such as a tree or pole if the outhaul or safety line breaks. It also **permits free runs without the outhaul if speed of transfer should become a necessity** due to hazardous conditions.

STEP 3 If a yoke between two points is not possible, an "A" frame can be rigged on the ground to provide the necessary clearance, but it will be necessary to control the rate of descent with an outhaul safety line.

STEP 4 The trolley block carrying the victim will then run down the line by gravity while the DZ team slowly feeds out the outhaul safety line.

STEP 5 The victim is removed at the SZ and the trolley block is retrieved by the DZ crew with the outhaul safety line. The remaining victims can be transferred in the same way.

Summary

Rescue or assault operations requiring the transfer of personnel from one level to another may be achieved horizontally or at an angle. In **highline** transfers, two points are connected by a line, but the equipment and tactics used will vary according to the situation. Rigging solutions for **horizontal** transfers include the use of tightrope crawls and the polyester highline method; inclined highline transfers involve transfers from building to ground.

A **grappling** hook and rope, thrown across the distance to be spanned and pulled tight, may be used as a line for the **abdominal crawl** or the underslung crawl. Using a carabiner snapped onto the highline for safety, the rescuer moves across the tight rope by laying out on the rope and hooking the instep of one foot over the rope while letting the other leg hang free for balance. By drawing the foot up close to the buttocks while reaching out with the hands, and then pushing with the foot and pulling with the hands, the rescuer progresses across the rope in an abdominal crawl. The same movements are used in crossing in an **underslung** position. In any situation where hostile action can be expected, a better field of observation is gained by the face-down approach of the abdominal crawl.

The **polyester highline** method is generally used in a rescue situation when it is possible to have rigging teams at the **danger zone** (DZ) and the **safe zone** (SZ). In this method, a light line is propelled across the distance and the polyester line is fastened to the light line and then pulled across. Using block and tackle, the line is rigged so that a trolley block may be used to transport persons across the mainline in a rigged seat. Inhaul and outhaul lines are used to propel the trolley block back and forth between the departure point and arrival point. "A" frames may be constructed at the departure and arrival zones to provide clearance for a victim in a harness, chair, or on a stretcher.

When the physical arrangement of the rescue situation permits, rigging a highline on a downward incline will take advantage of the force of gravity in making transfers from a higher building to a lower one. The rigging is similar to the polyester highline except that gravity replaces the need for an inhaul line. The trolley is retrieved from the safe zone by the outhaul line and the next victim is placed in the attached seat for travel down the inclined line. "A" frames will provide clearance for the victim at the departure and arrival zones.

Transferring from a high level to the ground does not require throwing a grapnel with rope; the rope is just dropped to the ground. The **terminal** point for the rigging should be located between two points, such as trees or poles, and the mainline should terminate at the center point of a rope which is tied between these two points. This arrangement permits persons to be transferred without hitting a solid surface if the safety line breaks. If two "natural" points are not present, an "A" frame can be constructed to provide an impact-free terminal point. As in a vertical descent, the belay person or crew controls the descent to the ground.

Now complete the review questions beginning on the next page.

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Review Questions (V: F-4)

Write your answers on a separate sheet of paper.

1. Highline transfer means transfer: (Choose **all** correct answers.)

   a. by horizontal or inclined plane.
   b. from one level to a safe zone.
   c. by vertical ascent.
   d. at the same or lower level.

2. Where hostile action might be expected, using the abdominal crawl is best because:

   a. it is more natural to crawl on the stomach.
   b. the rescuer will be less frightened.
   c. it is easier to maintain balance.
   d. a better field of observation is gained.

3. The following steps describe the underslung crawl procedure. List the letters **a-f** on your paper, then arrange the steps in sequence by writing **1** by the letter for the first step, **2** by the letter for the second, and so on.

   a. Push on the rope with the feet while pulling with the hands.
   b. Throw the grapnel.
   c. Ease out onto the tightrope in the underslung position.
   d. Pull the rope tight.
   e. Secure the line on the safe side.
   f. Snap snatch block or carabiner to the tightrope.

4. The best rigging solution for transferring many people from one building to another on a horizontal plane would be:

   a. inclined highline.
   b. polyester highline method.
   c. abdominal crawl.
   d. underslung crawl.

5. Rigging which uses a trolley block on a highline and which must have outhaul and inhaul lines is used for:

   a. inclined highline transfers from building to building.
   b. inclined highline transfers from building to ground.
   c. the polyester highline method.
   d. the tightrope crawl.

6. The advantage of an inclined rig over a horizontal rig in highline transfers is that:

   a. gravity makes the transfer easier.
   b. the belay team controls the transfer.
   c. an outhaul line is not needed.
   d. vertical ascents are easier.

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7. In rigging a highline for rescue operations, an "A" frame will: (Choose **all** correct answers.)

   a. eliminate downward pull on tightrope crossings.
   b. provide vertical clearance for victims in chairs and stretchers.
   c. eliminate the need for victims to jump from high levels.
   d. provide shelters from hazardous conditions.

8. To transfer a victim from one building to a lower-level building:

   a. the abdominal crawl is the best method.
   b. the trolley block carrying the victim runs down the line by gravity.
   c. the SZ team pulls the trolley block across by an inhaul line.
   d. the polyester highline method is best.

9. For transfers from one building to a lower-level building, the mainline must be:

   a. at least 5/8-inch diameter polyester rope.
   b. 1/2-inch nylon rappelling rope.
   c. weighted with a "monkey's fist."
   d. at least 5/8-inch diameter nylon rope.

10. The following steps describe the transfer from building to ground procedure. List the letters **a-h** on your paper, then arrange the steps in sequence by writing **1** by the letter for the first step, **2** by the letter for the second, and so on.

    a. DZ crew feeds out outhaul safety line while trolley block carrying victim runs by gravity down the mainline.
    b. DZ crew drops remaining line to ground.
    c. SZ crew rigs terminal point on rope between two anchors or on an "A" frame.
    d. SZ crew removes victim.
    e. DZ crew secures mainline to an anchor point.
    f. DZ crew retrieves the trolley block with the outhaul safety line.
    g. SZ crew takes line out to selected terminal point.
    h. DZ crew runs mainline through an "A" frame block.

11. Which of the following statements is **incorrect**?

    a. DZ means disaster zone.
    b. SZ means safe zone.
    c. Safe zone refers to the arrival point.
    d. DZ refers to the departure point.

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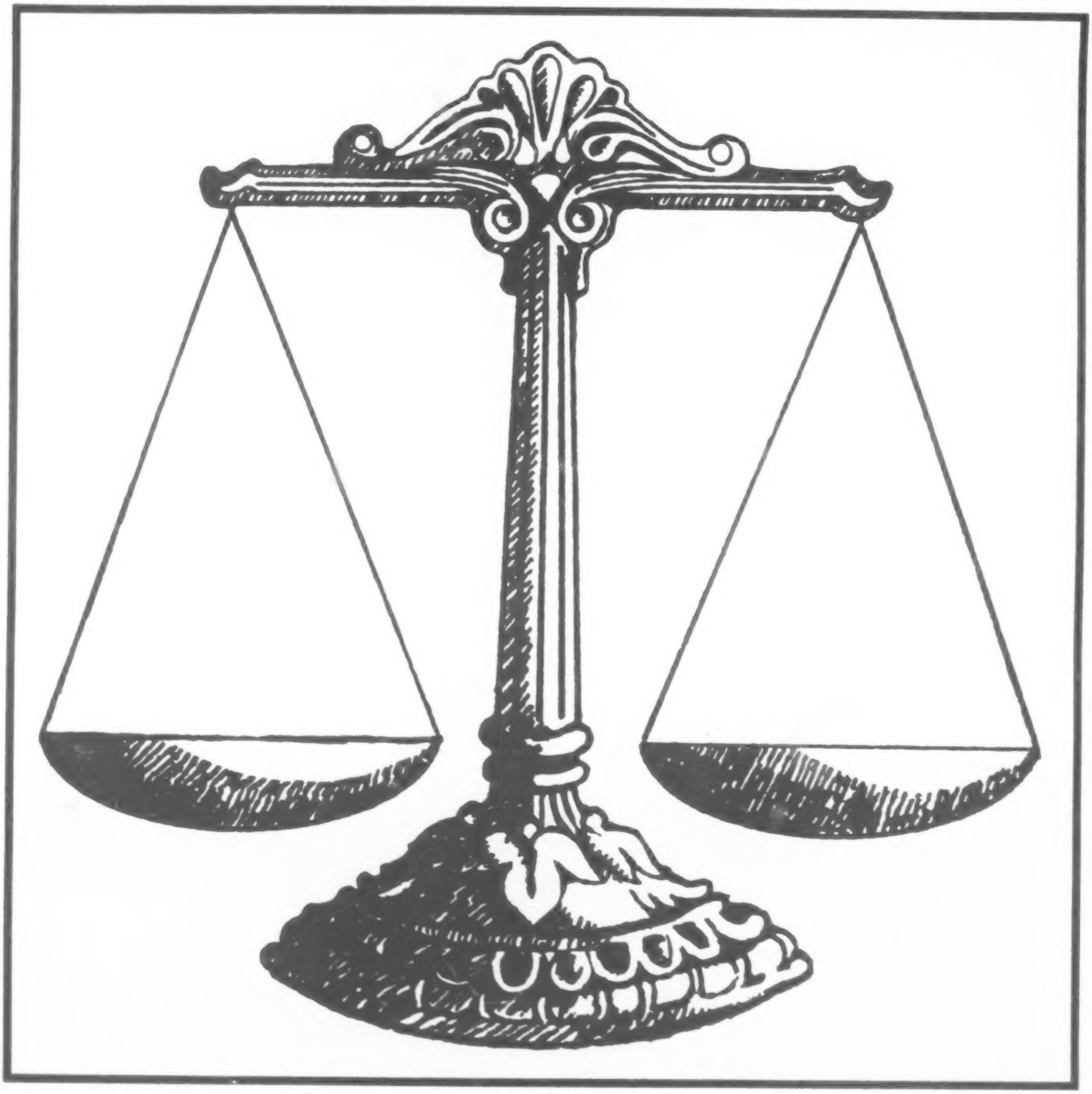
12. The termination point in transfers to ground level should be at a rope between two points or on an "A" frame because this type of rigging: (Choose **all** correct answers.)

   a. allows victims to control their descent.
   b. permits persons to be transferred without danger of impacting into a solid object.
   c. permits free runs without the outhaul if speed of transfer is necessary.
   d. requires only a DZ crew.

Check your answers with the correct ones provided in the answer key.

Student Guide Block VI

CRIMINALISTICS



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Criminalistics and Physical Evidence

Criminalistics is the application of scientific techniques to the detection, investigation, and solution of crimes. The practical application of forensic science deals with transferable physical evidence, such as fingerprints, blood, hair, fabric fibers, semen, soils, minerals, narcotics, and drugs. Criminalistics is based upon the assumption that **every contact leaves its trace.**

During the course of a crime, as a criminal makes contact with people or objects at the scene, the criminal usually leaves some evidence of his/her presence on the premises, environment, or victim. For example, an intruder will pick up soil and rug fibers on his/her shoes, or there will be cross-deposits of blood, hair, clothing fibers, semen, or saliva between the offender and the victim. Walking through a flower bed at the crime scene, intruders may leave their shoe impressions and take away earth from the soil area in the nail holes and crevices of their shoes. This concept of suspects leaving some evidence from themselves and acquiring evidence from the victim or scene is known as the **theory of transfer**, a well-established principle of investigation.

Physical evidence can be anything in our environment, but nothing is considered physical evidence by itself; a crime must be associated with it. Fingerprints may be only smudges, but they may be evidence when associated with a crime. Blood is the substance which keeps us alive, but it becomes evidence when associated with a crime. Physical evidence is also called **real evidence** because you can touch it. Such physical evidence falls under the category of circumstantial evidence. For example, footprints which demonstrate that a suspect was running near the scene of the crime are circumstantial evidence. Physical evidence is also called **trace evidence**, because it includes trace materials such as dried blood flakes, paint flakes, glass fragments, hairs or fibers, insulation, dust, powders, plant fragments, and similar debris. Trace evidence is used both to reconstruct crimes and to prove that a crime exists, as in the presence of narcotics. Since such evidence is often very fragile, extreme care is required to prevent loss or contamination of the evidence.

Two Types of Physical Evidence

Physical evidence usually falls into two classifications: (1) class characteristics (also called general characteristics) and (2) individual characteristics (also called specific characteristics).

Class characteristics are features, traits, and properties which are common to all things of a certain class or grouping. This type of evidence, no matter how thoroughly examined, can only be considered as general. A definite identification of its source can never be made since it could have come from several or many items within a general group. For example, all Nike tennis shoes share certain characteristics: the materials of which they are made, patterns on the soles, etc.

Other examples of class characteristics are soil, blood, hairs, fibers, single-layered paint flakes, glass fragments too small to match broken edges, toolmarks, shoe prints, or other items where the microscopic or accidental markings are not sufficient for positive identification.

Naturally, investigators prefer evidence that can be positively identified, but the value of evidence with only class or general characteristics should not be minimized. In cases involving evidence, with only class characteristics, the following items are desirable:

- a great amount of such evidence
- numerous general characteristics within a single item of evidence, such as paint with many layers all matching or soil with foreign matter such as paint chips, odd seeds, and insulation
- elimination specimens, such as soil from a place where a suspect claims to have been or claims a car was located; soil from areas surrounding a crime scene to show that a variation does exist; or paint or other materials from a source mentioned in an alibi.

Individual characteristics are features, traits, and properties unique to an individual thing. These properties are also called specific identifying characteristics, since evidence with enough of these characteristics can often be positively identified from a specific source. For example, a particular pair of Nike tennis shoes may have been worn by someone who puts a lot of pressure on the right foot while walking, causing the sole of the right shoe to be extremely worn and rubbed. These rub marks are not shared by all Nike tennis shoes and would be considered individual characteristics. Other examples of individual characteristics are fingerprints, handwriting, bullets, shoe prints, pieces of glass where the broken edges can be matched, and wood where broken or cut surfaces can be matched.

An example of the difference between class and individual characteristics can be illustrated when comparing a bullet with a gun. The class characteristics of loads, grooves, twist, and weight may tell you that the bullet in question was fired from a certain type of gun. These are class characteristics because they are common to all bullets and guns of this type. In order to identify the particular gun used, the crime laboratory should examine the individual bullet characteristics of striation, extractor marks, etc.

Usually, the field investigator observes class characteristics of transferable physical evidence and the crime laboratory staff compares individual characteristics. Similarities in class characteristics can provide sufficient probable cause to continue the investigation, while similarities in individual characteristics can provide information to support a conviction. These two functions are not in conflict; they work together in determining the truth. Therefore, it is important for the field investigator to become familiar with the skills needed by the crime laboratory analyst.

Team Approach

Since successful investigation depends upon criminalistics in many cases, it is essential for you to understand the basic principles and techniques involved. Here is an example of the importance of criminalistics: Searching for evidence, a criminalistic technician examined the dust collected from the hands of a suspect. Under a microscope, the technician saw tiny seeds in the dust which were a rare type of pollen found only at the scene of the crime. This became the major evidence for convicting the suspect.

As such cases become more commonplace, the role of criminalistic technicians in crime investigation will become more significant. In order to fulfill the purpose of investigation, therefore, **investigators, criminalistic technicians, and analysts should work together as a team at the crime scene.** The investigator knows where to look for physical evidence and recognizes its importance; the criminalistic technician knows how to handle and prepare evidence; and the professional criminalist knows how to analyze evidence.

Law enforcement is just beginning to use the team approach through crime scene search units or physical evidence teams with aides, technicians, paraprofessionals in criminal laboratories, and investigators at the law enforcement agencies. Crime lab technicians examine the collected evidence for class or general characteristics which are common between specimens from both the crime scene and the suspect. Then the technicians submit the results of their examination to the **criminalists (analysts)** in the lab who examine the evidence for individual or specific characteristics in order to extract convincing information from the evidence. Investigators then use the results in interpreting the relationship between suspect and crime.

Three Basic Forensic Techniques

In this block, you will study some techniques of criminalistics. You do not need advanced theoretical knowledge of forensic science for this program, but you do need to know how to use a camera, microscope, and chemical reagents. The basic forensic techniques covered in this block are as follows:

Microscopy:

Forensic microscopy (the use of the microscope to examine evidence), the topic of this section, has become an important field in criminal investigation. It deals with examination of physical evidence transferred during a crime, such as blood, hair, fiber, broken glass, and fingerprints. This type of evidence is examined in criminal investigation because the results can aid in solving a case, proving an element of the offense, or proving the theory of a case.

Microscopic examination of evidence helps solve cases because it can:

- develop an M.O. (method of operation) or show similarities in M.O.'s
- prove or disprove an alibi
- identify, connect, or eliminate suspects
- identify stolen goods or contraband
- provide leads in investigations.

Even seemingly insignificant details can establish leads for the investigator to follow. Here are some examples:

- Safe insulation, glass, or building materials on suspect's clothing may prove location of entry in question.
- Stomach contents, bullets, residue at the scene of fire, semen, blood, and toolmarks may all prove commission of certain offenses.
- Safe insulation on tools may be sufficient to prove violation of statutes banning possession of burglary tools.
- Physical evidence such as footprints may show how many people were at the scene in question.
- Auto paint on clothing may show that a person was hit by a car instead of otherwise injured.

A primary purpose of the microscopy unit is to foster an interest in the forensic sciences and an opportunity to explore the basic concepts of that field. Another purpose is to introduce the use of the microscope, which is a basic tool used in crime laboratories. The trend in submitting evidence to the crime lab for professional analysis is to require law enforcement officers to submit physical evidence with **class** characteristics indicating a possible common source. The job of the crime lab will be to determine if there are **individual** characteristics. A microscope is essential in attempting to identify class characteristics of very small pieces of evidence. In most modern police departments, paraprofessional teams carry out crime scene searches and evidence gathering. This trend toward scientific investigation has been stimulated by court decisions such as the Miranda case and others which require a better method of case preparation than is possible with older police methods. The microscope is becoming a basic law enforcement tool.

Photography:

The camera is a basic tool for many of the criminal justice occupations. Photographic evidence is the most common type of courtroom exhibit. Like microscopic evidence and fingerprints, photographic evidence must pass rigid rules of admissibility, chain of custody, and accuracy of reproduction. Law enforcement, courts, and corrections personnel all may have some involvement with photographic evidence in the course of a case.

In the second unit of this block you will study basic black-and-white photography, such as taking pictures, developing negatives, and making contact sheets and enlargements.

Fingerprints:

As a primary positive means of identifying people, fingerprint technology is used to identify amnesia victims, unknown deceased persons, missing persons, victims of natural and manmade disasters, and so on. All criminal justice occupations require the knowledge of fingerprints: law enforcement officers for investigating crimes; prosecuting attorneys for direct examination of expert witnesses; defense attorneys for cross-examination of expert witnesses or for defense of their clients; judges for evaluation of evidence; and corrections officers for accurate admission and release of inmates. In studying fingerprints, **accuracy** is vitally important. The third unit will cover how to take good fingerprints, how to identify and classify inked fingerprints, and how to develop latent fingerprints.

Now complete the review questions beginning on the next page.

Review Questions (VI: Overview)

Write your answers on a separate sheet of paper.

1. What is the definition of criminalistics?
   - a. study of crime
   - b. application of psychology to determine a suspect's guilt or innocence
   - c. use of fingerprints to investigate suspects
   - d. application of scientific techniques to the detection, investigation, and solution of crimes

2. Which of the following does **not** serve as transferable physical evidence?
   - a. blood
   - b. hair
   - c. water
   - d. fabric fibers

3. What is the basic assumption of criminalistics?
   - a. When you contact something, you always leave some kind of trace.
   - b. Human traits are similar regardless of ethnic background.
   - c. All crimes can be solved if we apply scientific techniques.
   - d. Fingerprints are the best evidence in identifying criminals.

4. For a successful investigation, how should investigators and criminalistic technicians work at the crime scene?
   - a. The criminalistic technician should listen to the investigator.
   - b. They should work together as a team.
   - c. The investigator should listen to the criminalistic technician.
   - d. They should listen to the chief of police or the sheriff.

5. Which one of the following usually knows best where to look for physical evidence?
   - a. investigator
   - b. criminalistic technician
   - c. professional criminalist (analyst)
   - d. head of a law enforcement agency

6. Who examines collected evidence for the **class** characteristics between specimens from crime scenes and specimens from suspects?
   - a. investigator
   - b. criminal laboratory technician
   - c. professional criminalist (analyst)
   - d. head of a law enforcement agency

7. Who examines the evidence for **individual** characteristics and extracts convincing information from evidence?

   a. investigator
   b. criminalistic technician
   c. professional criminalist (analyst)
   d. head of a law enforcement agency

8. Who uses the results of evidence analysis in interpreting the relationship between suspect and crime in a case?

   a. investigator
   b. criminalistic technician
   c. professional criminalist (analyst)
   d. head of a law enforcement agency

9. In order for microscopic evidence, photographic evidence, and/or fingerprints to be used as courtroom exhibits, they must meet all of the following requirements **except**:

   a. rules of admissibility.
   b. chain of custody.
   c. accuracy of reproduction of the evidence.
   d. the Miranda warning.

10. Which of the following is the most reliable and positive means of identifying people?

    a. microscopic evidence of hair
    b. fingerprints
    c. photographic evidence
    d. blood type

Check your answers with the correct ones provided in the answer key.

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Block VI: Criminalistics
Unit A: Basic Forensic Examinations
Section 1: Microscopy

Ask your instructor for the pretest for this section (VI: A-1). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

As we discussed in the Overview of Criminalistics, transferable physical evidence is very important in identifying the criminal. Once physical evidence is collected from the crime scene, the field investigator may ask questions such as these:

- Is blood found on the suspect that of the suspect or the victim?
- Is hair found on the victim that of the victim or the suspect?
- Are the fibers found on the suspect from the clothing, bed, or rug of the victim, the suspect, or other sources at the crime scene?
- Can you establish that contact occurred between the victim and the suspect?

Investigators can ask similar questions about pet hairs, botany specimens, lipstick, and other physical evidence found on belongings.

To answer these questions, crime lab analysts examine the evidence with a number of different instruments. The human eye is the most important of these instruments, enhanced by use of the microscope. The microscope has become an essential tool in the examination of transfer evidence. Consequently, knowledge of the microscope is required in the field of criminal justice work.

In this first section, we will discuss the parts and functions of a microscope and how to use a compound microscope.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Define class and individual characteristics of physical evidence and identify examples as discussed in the **Overview**.
2. Define macroscopic and microscopic evidence.
3. Identify common types of microscopes.
4. Label the parts of a compound microscope.
5. Identify or describe the functions of each part of the microscope.
6. Identify the correct procedures for using a compound microscope.
7. Identify the proper way to care for the microscope.

Performance Objective

Given a specimen slide and a microscope, demonstrate the proper procedures for focusing the microscope. Your evaluator will use the performance checklist to evaluate your work. Your performance should be rated "A" (acceptable) on all of the following tasks:

1. Place the microscope securely before you.
2. Raise the objective lenses.
3. Set the low power objective lens.
4. Place the slide on the stage over the hole.
5. Turn on the illuminator.
6. Adjust the diaphragm to allow the maximum amount of light to pass through the specimen.
7. Lower the objective lens by turning the coarse adjustment knob.
8. Bring the specimen into approximate focus by raising the objective lens with the coarse adjustment knob.
9. Bring the specimen into sharp focus by using the fine adjustment knob.
10. Adjust the opening of the diaphragm for an evenly lighted field.
11. Determine the magnifying power needed.

12. Select the proper objective lens, and rotate it in place.

13. Refocus the specimen by using the fine adjustment knob.

14. Make sure the specimen is in sharp focus.

15. Clean up the station and the microscope.

16. Perform the tasks in an acceptable amount of time.

Use and Care of the Microscope

Types of Evidence

In the field of criminalistics, evidence that passes from one person to another, from a person to an object, or from an object to a person is referred to as transferable physical evidence. Examples of physical evidence include fingerprints, blood, hair, fabric, fibers, semen, soils, minerals, and narcotics.

Physical evidence can be classified as either macroscopic or microscopic according to its degree of visibility to the human eye. **Macroscopic evidence** is usually visible without the use of special lens equipment. **Microscopic evidence** can only be seen with lens equipment. In order to answer questions concerning microscopic physical evidence, crime lab analysts need to examine the evidence with a microscope.

The Microscope

The microscope is an instrument for examining evidence for general and specific characteristics. "Micro" means very small and "scope" means to examine or to look at. A lens is a piece of glass, curved on one or both sides, that magnifies a specimen being examined. In other words, the microscope is an instrument with a lens (or combination of lenses) which magnifies a very small object.

There are basically two types of microscopes: simple and compound. First, let's discuss the difference between the two.

Simple Microscope

A simple microscope has one lens: a magnifying glass in a hand-held frame (Figure A-1-1) or a large single lens mounted on a flexible arm (Figure A-1-2).

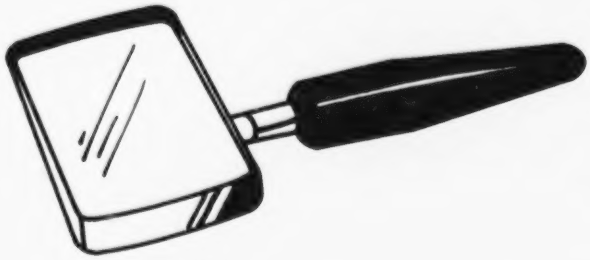

Figure A-1-1
Magnifying Glass in a Hand-held Frame

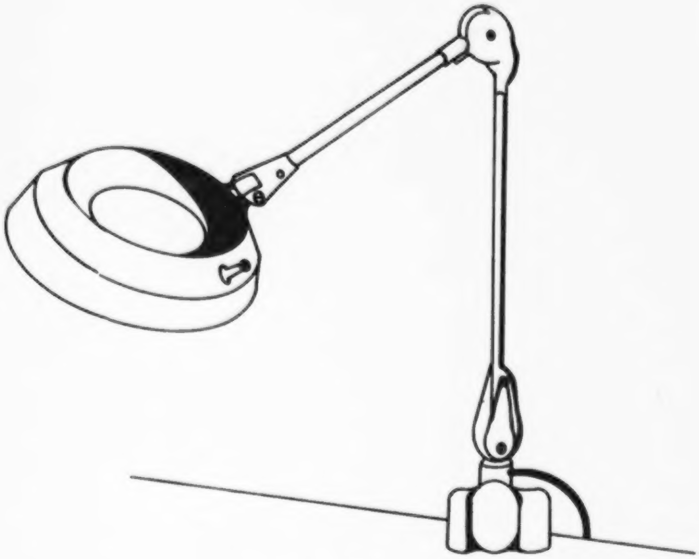

Figure A-1-2
Single Lens Mounted on a Flexible Arm

With a large single lens mounted on a flexible arm, you can find a lot of transfer evidence, such as clothing fibers.

A common simple microscope is the fingerprint magnifier, which has a stand and a threaded lens. This type of microscope can focus the object more finely than a hand-held magnifying glass.

Compound Microscope

A compound microscope is an instrument that can magnify a small object many times its actual size. Unlike a simple microscope, it has two separate lens systems: an objective which magnifies the specimen by a definite amount and an eyepiece which further magnifies the image formed by the objective. The resulting magnification observed is equal to the product of the primary magnification of both lens systems. Figures A-1-3 and A-1-4 show examples of compound microscopes.

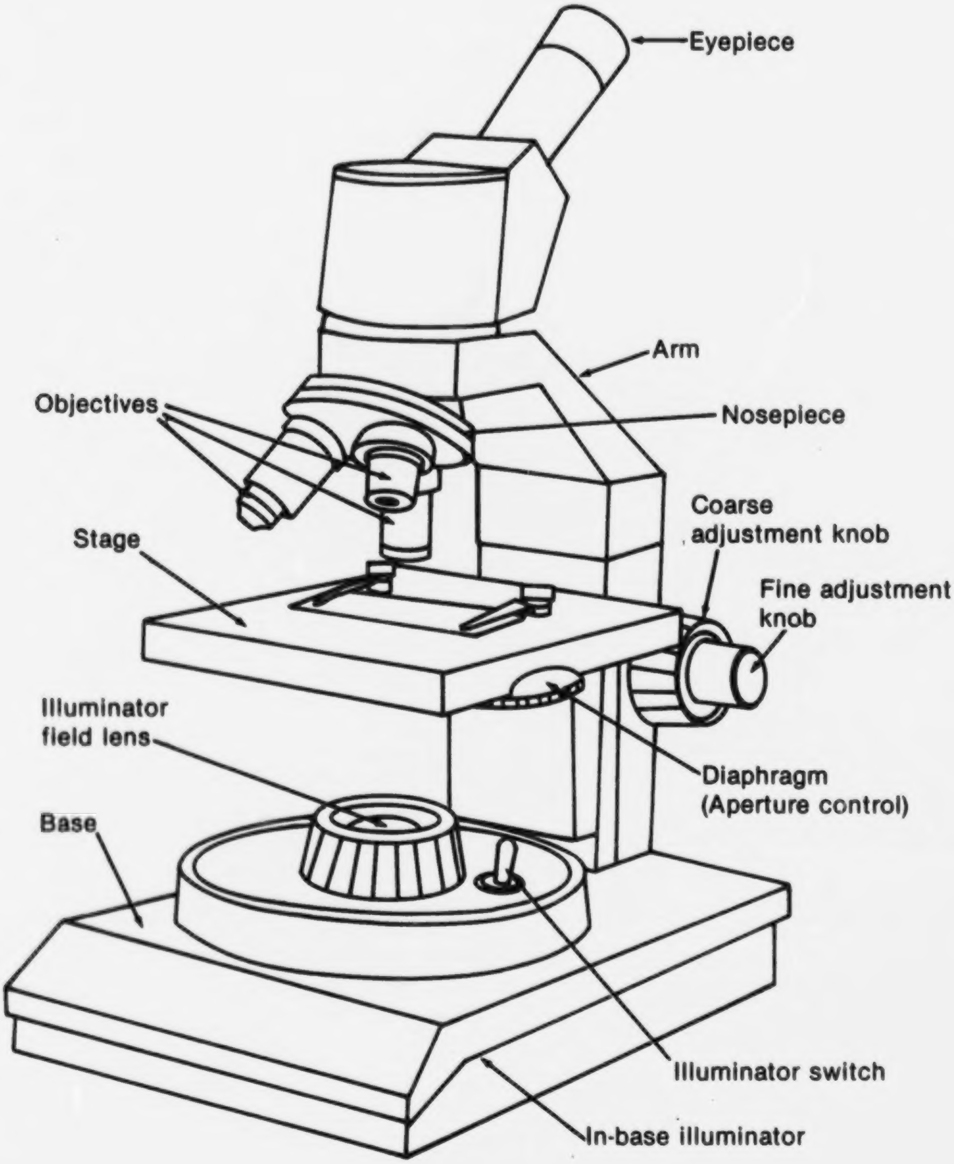
Eyepiece
Arm
Objectives
Nosepiece
Coarse adjustment knob
Stage
Fine adjustment knob
Illuminator field lens
Diaphragm (Aperture control)
Base
Illuminator switch
In-base illuminator

Figure A-1-3
Compound Microscope with One Eyepiece

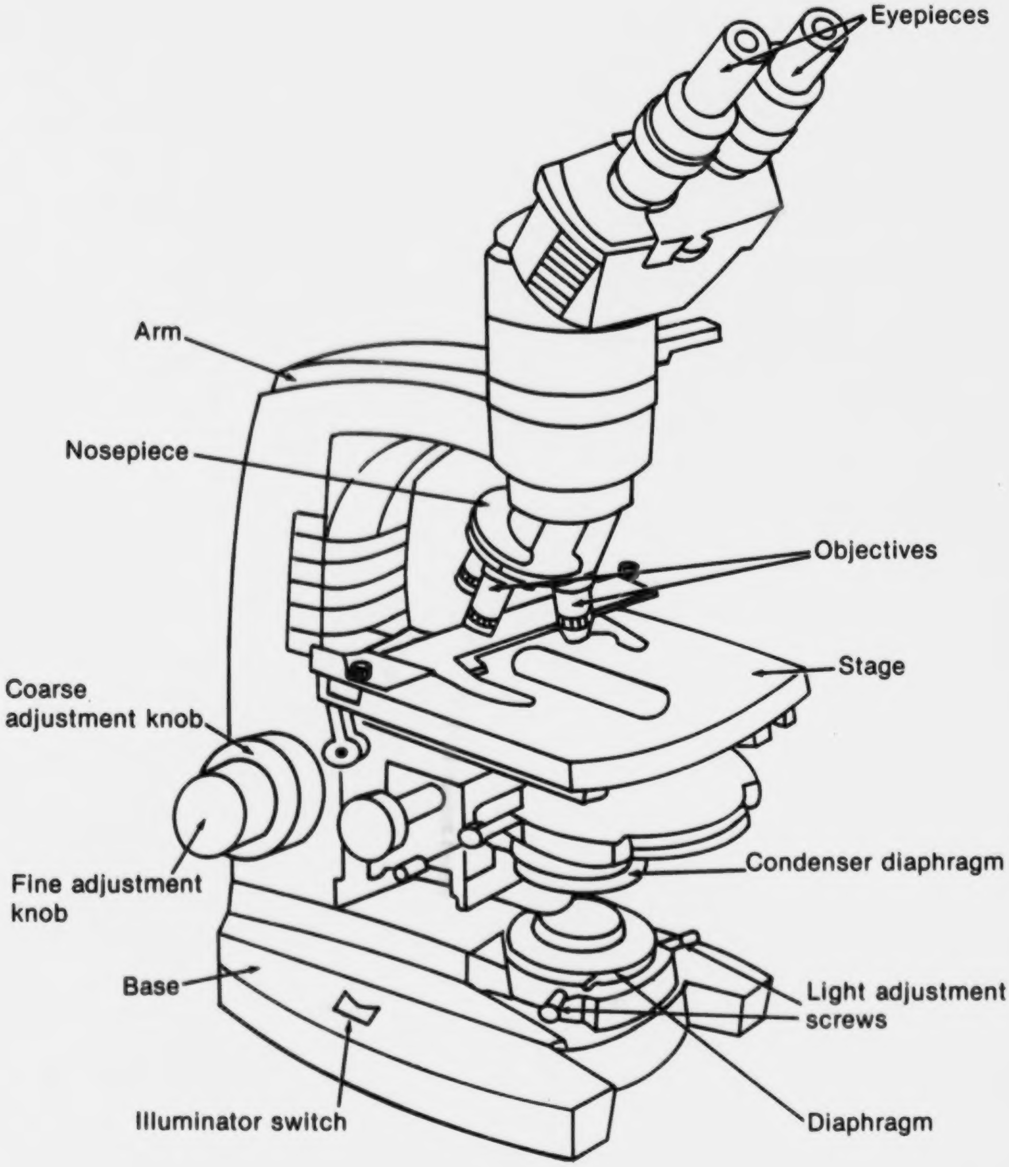
Eyepieces
Arm
Nosepiece
Objectives
Stage
Coarse adjustment knob
Fine adjustment knob
Condenser diaphragm
Base
Light adjustment screws
Illuminator switch
Diaphragm

Figure A-1-4
Compound Microscope with Two Eyepieces

Functions of Compound Microscope Parts. Only the parts which are basic and common to all microscopes are described below.

Body:	This tube encloses the prisms controlling the path of light to the eyepiece and maintains the correct distance between the lenses.

Objectives:	These are the lenses on the nosepiece. They do the initial magnifying to form the primary image. (The positions of these lenses can be changed.) There are often three objectives with different magnifying powers indicated by X. If a microscope has 5X, 10X, and 40X lens, their magnifying powers are 5, 10, and 40 times respectively.
Eyepiece:	This is the upper lens which further magnifies a primary image transmitted and amplified by the objective. It brings the light rays to a focus at the eye of the user.
Arm:	The frame that supports all components above the base. It is also used as a handle to carry the microscope.
Coarse adjustment knob:	The focusing knob (or a set of knobs) raises and lowers the body tube or stage of the microscope. It is used to get a coarse focus on the specimen.
Fine adjustment knob:	The smaller focusing knob (or set of knobs) is used to get a finer focus. It precisely moves the body tube or stage in smaller amounts than the coarse adjustment knob.
Stage:	This is the table on which the specimen is placed. It has a hole to let light pass through the object being examined. It has clips to hold a glass slide in place.
Diaphragm:	This device changes the size of the hole through which light is passed through the specimen, thus altering the amount of light being admitted.
Illuminator lens (or mirror):	Located under the diaphragm and stage, this is the source of light illuminating the specimen. Some instruments use an adjustable mirror which reflects light from an external light source. Others use a built-in light source focused through an illuminating lens.
Base:	This is the bottom part which supports all other components. It is also used, with the arm, to carry the microscope.

NOTE: Since there are so many manufacturers of microscopes, it is impossible to describe all makes and models. However, the following types are satisfactory for most of the introductory work in this unit:

1. a stereoscopic microscope with variable power from about 7X to about 30X and a separate illuminator (also called a stereo microscope or dissecting microscope)

2. a standard compound microscope with 4X, 10X, 20X, or 40X objectives, and 10X widefield eyepiece (also called a biological microscope)
3. a basic polarizing microscope constructed by placing a polarizing filter (polarizer) between the diaphragm and condenser and a second one (analyzer) in or over the eyepiece

Using the Microscope

Since there are many different brands of compound microscopes, you should discuss with your instructor the functions of each part of the microscope you are using.

The procedures described here are basic, general guidelines for using a compound microscope.

STEP 1: Place the microscope securely in front of you.

STEP 2: Raise the objective lenses.

STEP 3: Set the low power objective lens. Click the low power objective into place over the hole in the center of the stage (see Figure A-1-5).

NOTE: There is usually more than one objective lens. If the microscope has 5X, 10X, and 40X lenses with magnifying powers 5, 10, and 40 times, respectively, begin with the lowest power objective (5X).

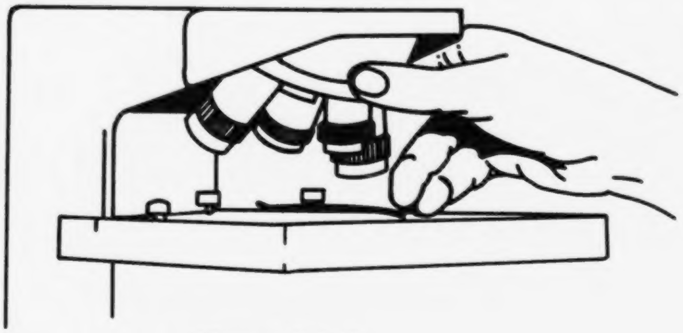

Figure A-1-5
Setting the Low Power Objective Lens

STEP 4: Place the slide on the stage with its center over the hole.

STEP 5: Turn on the illuminator switch.

STEP 6: Adjust the diaphragm (aperture control) until the maximum amount of light passes through the specimen (see Figure A-1-6). To do this, start with the largest opening, locate the specimen, focus it, then adjust the diaphragm opening for best illumination.

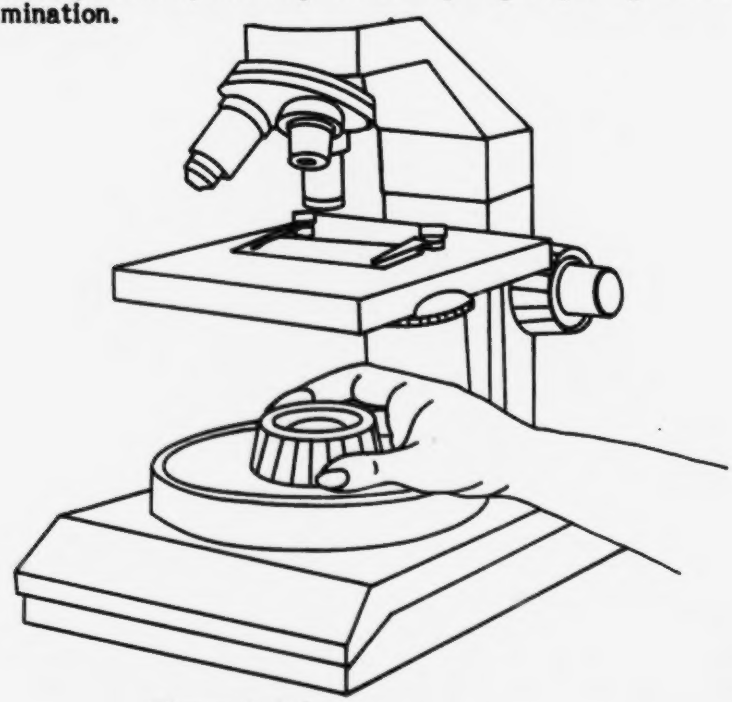

Figure A-1-6
Adjusting the Diaphragm

STEP 7: Lower the objectives until they stop. To do this, turn the coarse adjustment knob (see Figure A-1-7).

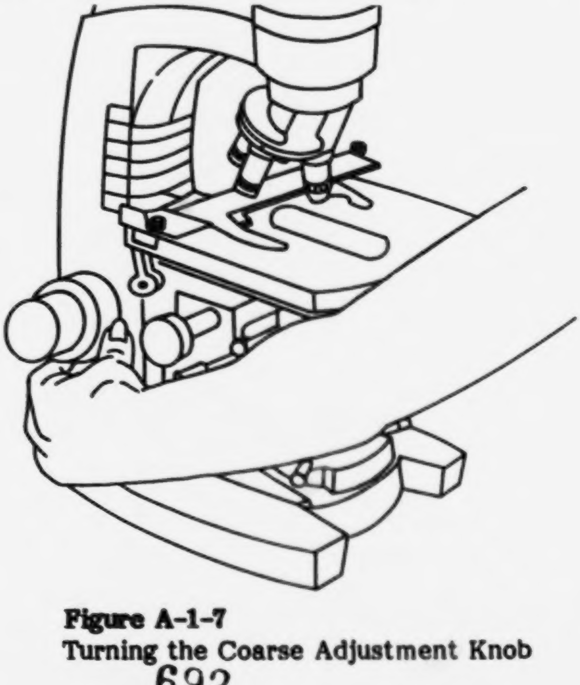

Figure A-1-7
Turning the Coarse Adjustment Knob

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STEP 8: While looking into the microscope with both eyes open, bring the specimen into approximate focus by raising the objective with the coarse adjustment knob.

CAUTION: Never focus downward while looking through the eyepiece.

STEP 9: Bring the specimen into sharp focus by using the fine adjustment knob (see Figure A-1-8). Once the specimen is in sharp focus, you can move the slide around to find the most representative part of the specimen.

STEP 10: Adjust the opening of the diaphragm for an evenly lighted field.

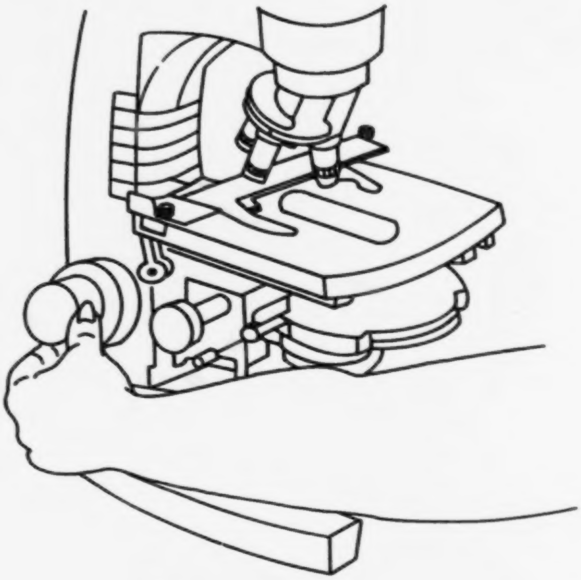

Figure A-1-8
Turning the Fine Adjustment Knob

STEP 11: Determine the magnifying power needed for thorough examination of the specimen. To do this:

- look for the magnifying power of the eyepiece indicated by the number and the letter "X" on the eyepiece (for example, 10X)
- look at the power of the objective (for example, 5X)
- multiply the magnifying power of the eyepiece (10X) by the power of the objective (5X) to determine the magnifying power of the instrument (50X).

Therefore, if you are using a microscope whose eyepiece has 10X magnifying power and you want to magnify the specimen 50 times, you should use the 5X objective lens.

Storing the microscope

1. Keep the stage of the microscope clean and dry.

2. Keep the microscope in its cabinet when not in use.
3. Put the low power objective in the focusing position and make sure the mechanical stage does not extend beyond the edge of the microscope stage.

Summary

The field investigator is usually concerned with the general (class) characteristics of transferable physical evidence. A compound microscope is usually used by a crime laboratory analyst to examine this type of evidence. This section has dealt primarily with the microscope parts and procedures for correct use. The major points of this section are listed below:

- class characteristics: features, traits, and properties common to all things of a particular class
- individual characteristics: features, traits, and properties unique to an individual thing
- compound microscope: uses two or more lens systems and can magnify a specimen many times its actual size
- parts of the compound microscope include: body, objectives, arm, coarse adjustment knob, stage, diaphragm, illuminator lens, base
- procedures for using the microscope:

placement

1. Place microscope securely.
2. Raise objective lens.
3. Set low power objective lens.
4. Place center of slide over hole on stage.
5. Turn on illuminator switch.

adjustment

6. Adjust diaphragm for maximum light passage through specimen.
7. Lower objectives until they stop.
8. Bring specimen into approximate focus by raising objective.
9. Bring specimen into sharp focus using fine adjustment knob.
10. Adjust diaphragm for even light.

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focus

11. Determine magnifying power.

12. Select proper objective lens and rotate in place.

13. Refocus using fine adjustment knob.

- other important procedures:

  - When transporting, use one hand to hold the arm of the microscope and place the other hand under the base.
  - Never wipe the microscope lens when dry.
  - Use a special cleaning agent to lubricate the microscope.

Now complete the review questions beginning on the next page.

Review Questions (VI: A-1)

Write your answers on a separate sheet of paper.

If there is more than one correct answer, write the letters of all correct answers.

1. Which **three** of the following describe the theory of transfer of evidence?

   a. The suspect leaves his/her hair on the victim.
   b. The victim saw the suspect running near the crime scene.
   c. The victim has the suspect's blood on his/her hand.
   d. There is a fingerprint of the suspect on a dresser in the crime scene.

2. Which **two** of the following are class characteristics?

   a. A fatal bullet has six lands, six grooves, and a right-hand twist.
   b. The blood obtained from the crime scene contains abnormal cells.
   c. The general pattern of the suspect's shoe impression is associated with Nike running shoes.
   d. Dust obtained from a victim's clothing turns out to be pollen found only at a particular place.

3. Which **two** of the following are correct with respect to evidence size?

   a. Macroscopic evidence is visible without lenses.
   b. Microscopic evidence is visible without lenses.
   c. All transfer evidence is microscopic.
   d. Physical evidence can be either microscopic or macroscopic.

4. A simple microscope has:

   a. one lens system.
   b. two separate lens systems.
   c. one lens.
   d. double lenses.

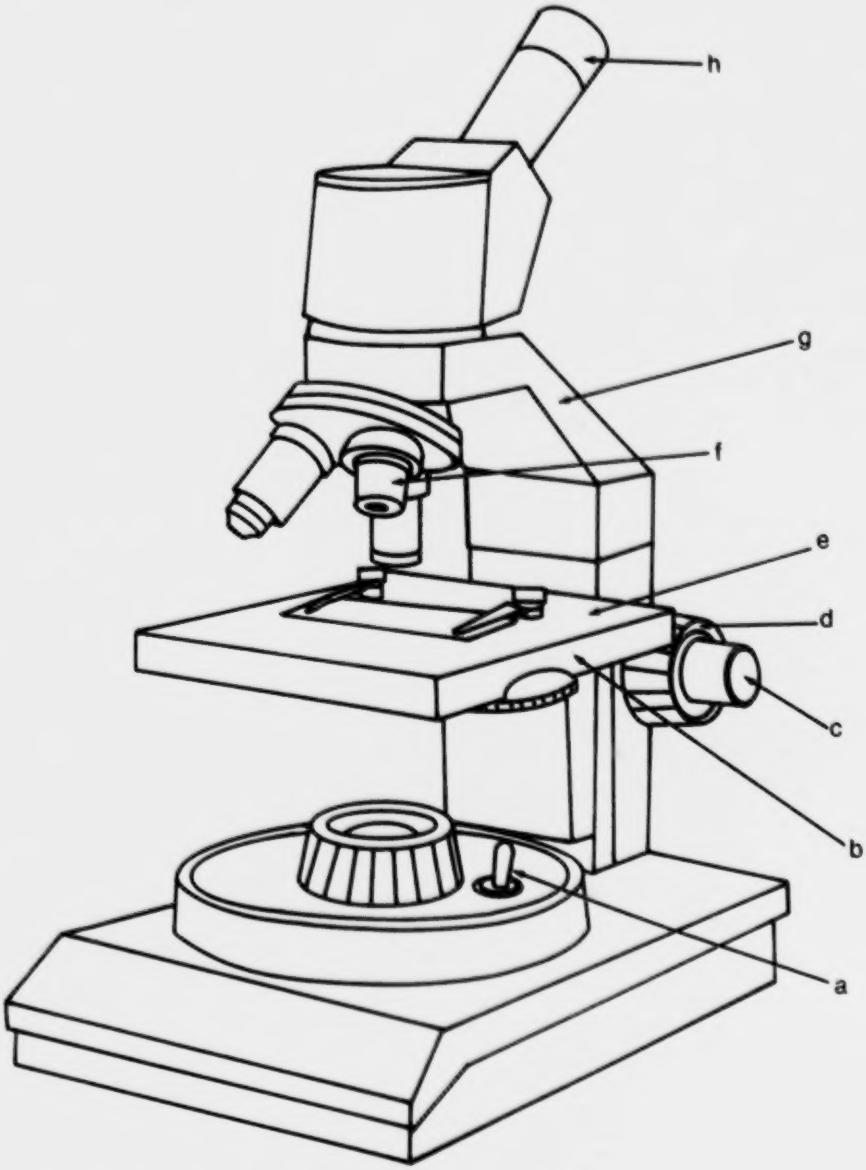
5. Which of the following **does not** describe a compound microscope?

   a. an instrument that can magnify a small object many times its actual size
   b. an instrument with a single lens system
   c. an objective which forms the primary image
   d. an instrument with two separate lens systems

6. What is a lens?

   a. a piece of ordinary glass
   b. a piece of curved glass
   c. a flat piece of plastic
   d. an opening in the diaphragm

7. Label the parts of the microscope shown below:



8. What is the function of the diaphragm?

   a. controlling the amount of light on the specimen
   b. determining the magnifying power
   c. selecting the correct objective
   d. establishing the primary image

9. Which **two** of the following are true about the stage of the microscope?

   a. It supports the components above it.
   b. It serves as a table on which to place the specimen.
   c. It has a hole to let light pass through the object being examined.
   d. It controls the path of light to the eyepiece.

10. How would you compute the total magnifying power of a microscope?

    a. Divide the power of the eyepiece by the diaphragm opening.
    b. Multiply the power of the eyepiece by the power of the objective being used.
    c. Multiply the power of the objective by the diaphragm opening.
    d. Turn the illuminating switch.

11. Which **three** of the following are correct?

    a. You should carry a microscope by its arm and base.
    b. You should not wipe a dry lens.
    c. You can use any kind of lubricant when any part of the microscope needs lubrication.
    d. You should put the low power objective in focusing position when the microscope is not in use.

12. Which **two** of the following should you use to clean the lens of a microscope?

    a. tissue paper
    b. a dry cloth
    c. air from a syringe
    d. lens paper and lens cleaner

Check your answers with the correct ones provided in the answer key.

Practical Exercises (VI: A-1)

I. Operate a compound microscope.

1. Ask your instructor for a compound microscope (preferably a stereoscopic microscope) and a specimen.
2. Bring the specimen into focus with the microscope.
3. Ask your instructor to observe your performance.
4. Discuss your performance with your instructor and classmates.

II. Discriminate among different trace materials.

1. Ask your instructor for a stereoscopic microscope.
2. Collect debris from a piece of clothing, a table, or other source.
3. Examine evidence with the stereomicroscope.
4. Separate it into types of materials.
5. Describe the categories in a notebook.
6. Discuss your findings with your instructor and classmates.

When you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: A-1).

Block VI: Criminalistics

Unit A: Basic Forensic Examinations

Section 2: Blood Identification

Ask your instructor for the pretest for this section (VI: A-2). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

At the scenes of hit-and-run accidents, bombings, burglaries, or other crimes, you can often find blood or a bloodstained item as evidence. By analyzing this evidence, a crime laboratory analyst can provide information toward identification of suspect, victim, or instrument used in the crime.

The crime laboratory analyst examines blood and bloodstained objects to identify their characteristics. The characteristics identified are compared with those of blood from known individuals to determine whether or not the blood could have come from them. A crime scene analyst may also examine the location and shape of blood spatters to reconstruct what happened at the scene.

In this section you will study the composition and function of blood, the forensic value of bloodstains, collection of blood at the crime scene, and blood examination at the crime laboratory. You will use the skill you developed in Section 1 on using the microscope and will learn to prepare blood film on microscopic slides.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify statements which indicate the forensic value of bloodstain evidence.
2. Identify or describe four components of blood and the functions of each component.
3. Given hypothetical situations at the crime scene, identify the proper ways of handling bloodstain evidence as a law enforcement officer.
4. Identify three basic questions a crime laboratory analyst should try to answer when analyzing blood specimens collected from the crime scene.
5. Identify the purpose and procedures of a leuco-malachite test, precipitin test, and microscopic test.
6. Identify the procedures for preparing a blood smear slide.
7. Given the reactions of blood in hypothetical serological tests, identify blood types.

Performance Objectives

A. Given all necessary equipment and supplies (microscope, two liquid blood samples, bottle of Wright's stain, bottle of stain buffer, and several microscope slides), prepare two blood smear slides. Your performance on all the tasks listed below should be rated "A" (acceptable) for **both slides.**

   1. Make sure all necessary equipment and supplies are assembled.
   2. Obtain two blood samples from the instructor.
   3. Place a drop of blood on one of the slides, about one inch from the end of the slide.
   4. Set the slide on a clean surface with blood side up.
   5. Place the end of a second slide in the center of the first slide at a 30-degree angle.
   6. Make an even and thorough blood smear by pulling and pushing the second slide across the first one.
   7. Air-dry the blood smear quickly.

8. Stain the blood film with Wright's stain.

9. Apply stain buffer twice, three minutes after staining and two minutes after first application of buffer.

10. Air-dry the slide.

11. Perform these tasks in an acceptable amount of time.

12. The slide should be clear.

13. The blood should be evenly smeared.

B. Given all necessary equipment and supplies (four glass slides, toothpicks, anti-A blood serum, and anti-B blood serum), you should be able to identify blood types of two blood samples by conducting antigen-antibody examinations. Your performance on all of the tasks listed below should be rated "A" (acceptable) for **both** examinations.

1. Make sure all necessary equipment and supplies are assembled.

2. Obtain samples of blood from the instructor.

3. Place a drop of blood on the anti-A side and one on the anti-B side of the slide.

4. Add one drop of anti-A serum to the blood on the anti-A side.

5. Add one drop of anti-B serum to the blood on the anti-B side.

6. Mix anti-A serum and blood on anti-A side and anti-B serum and blood on anti-B side with separate toothpicks. Mix them gently but thoroughly.

7. Observe the clumping reaction of the blood on each side. Write down the reactions and blood type correctly.

8. Perform these tasks in an acceptable amount of time.

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Forensic Value of Blood Identification

Law enforcement officers collect bloodstains as vital evidence at crime scenes, and crime laboratory analysts identify and analyze blood in an effort to link a suspect to a crime. Here are a few ways blood identification and analysis can help:

- Blood identification can prove that the stain **did not** come from a particular person, although it cannot prove that the stain **did** come from a particular person.
- Blood analysis can provide information on whether a victim or a suspect had consumed alcohol, drugs, or both before the incident in question.
- Blood analysis can provide other trace evidence such as hair, fibers, cloth weave patterns, and palm and fingerprint impressions.
- Blood identification and analysis can provide clues in the investigation and aid in reconstruction of the crime.

Limitations of Blood Examinations

- It is not possible to identify human blood as coming from a particular person.
- The race of the person from whom blood came cannot be conclusively ascertained.
- The age of a dried stain cannot be determined.

Composition and Functions of Blood

The average adult has about five quarts of blood composed of about three quarts plasma (blood serum) and two quarts cells (solids). Specific components of blood and their functions are as follows:

1. **Plasma** (liquid serum) is a transparent, straw-colored fluid. It transports the cells, platelets, and dissolved substances including water (90%), proteins, sugars, hormones, antibodies, and wastes.

2. **Red blood cells** are shaped like small discs and are thinner in the center than at the edges. A small drop of blood may contain four or five million red cells. Fully developed, mature red cells do not have a nucleus. Immature red cells have nuclei. Red cells have a substance called hemoglobin which is made up of iron and proteins. This gives blood its red color.

   Red cells carry oxygen by means of the hemoglobin from the lungs to the tissues of the body. Then they carry waste gas (carbon dioxide) from the tissues to the lungs to be expelled. Oxygenated blood from the lungs is bright red, but blood going to the lungs, with carbon dioxide, is purplish. Lack of either hemoglobin or red cells results in a condition called anemia. New red cells are constantly produced in the marrow of the long bones. The life span of these cells is about 120 days.

3. **White blood cells** are larger than the red cells and have a nucleus. Some white cells move about and change shape like an amoeba.

   The function of white cells is to engulf and destroy bacteria, protozoa, and other toxic products. This function plays a role in the healing process. There are many more red cells than white cells. For every white cell, there are 500 to 1,000 red cells. When germs infect the body, the number of white cells increases, so the white cell count can indicate the presence of disease. Some white cells are developed in the bone marrow like red cells; others are developed in the lymph glands.

4. **Platelets** are fragmented blood cells that are smaller than red or white cells. They are produced in the bone marrow like red and white cells.

   The function of platelets is to assist in the clotting process. When a blood vessel is injured, the platelets react to stop the flow of blood by forming a clot at the site of injury. During the reaction, fibrinogen, a protein in plasma, is changed to fibrin threads that become tangled at the injury site to hold back the blood flow and form the blood clot.

Collection and Transfer of Blood from the Crime Scene

At the crime scene where blood has been shed, it is the law enforcement officer's responsibility to identify, photograph, obtain, safeguard, and transfer blood evidence in a legally and scientifically acceptable way. The following are general guidelines for handling blood evidence properly at the crime scene:

1. Collect blood evidence.

   a. If a liquid blood specimen is present:

      - place it in a sterile container such as a test tube or a vial
      - collect as much as possible from each area up to ten cubic centimeters
      - do not add preservatives or dry ice to the sample.

b. For wet or damp bloodstains on garments or fabrics:

- air dry them at room temperature (do not expose them to direct sunlight or dry them by artificial means such as an electric heater (see Figure A-2-1)
- package dry garments or fabrics separately in a paper bag.

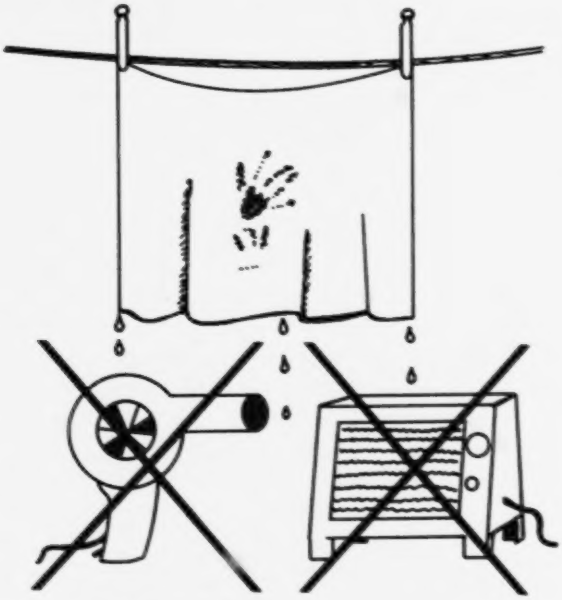

Figure A-2-1
Do Not Dry Wet Item by Artificial Means

c. For dried bloodstains, collect the stain by prying the crust of the stain off into a druggist fold (see Figure A-2-2).

- If the stain is on a piece of glass and is too thin to remove an adequate amount by scraping, collect the piece of glass. The specimen should be insulated in a package to prevent the blood from being rubbed off by packing materials.

- If blood is encrusted on the surface of dirt or soil, remove the crust and place it in a druggist fold.

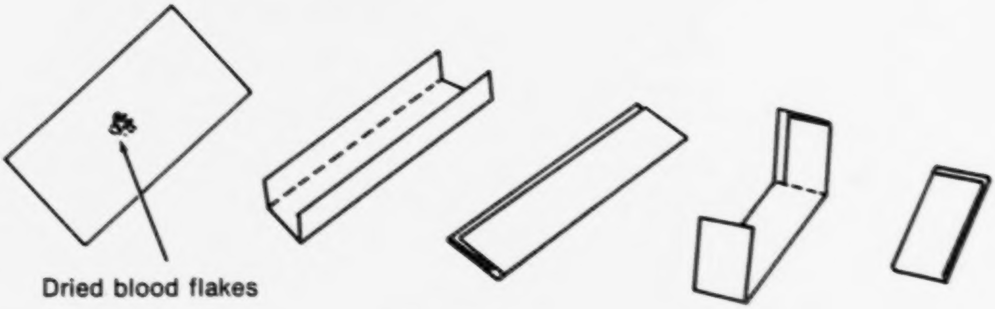

Figure A-2-2
Collecting Dried Bloodstains in a Druggist Fold

d. For blood on surfaces such as walls or floors, collect the dried bloodstains into a druggist fold, if they can be scraped off. Item or container must be identified by investigator's marks. If blood cannot be removed, the wall or floor section should be submitted.

e. For blood on auto surfaces, if the blood is not present in sufficient quantity to scrape off, the stained part of the car should be submitted.

2. Package specimens individually in paper bags and label them fully and correctly.

3. Fill out identification tags or labels (what the evidence is, what case it relates to, precisely where it was located, how it was collected, precisely when it was found, who found it, and who collected it). Place the tags or labels on the bags, and seal the bags.

4. Send the specimens to the laboratory as soon as possible.

5. Maintain chain of custody in transfer of specimens. Obtain and keep receipts including date, time, description of what is being transferred, case number, and signature of the person receiving the specimen. (To review chain of custody, see I-D-3.)

   NOTE: When collecting bloodstained evidence, you should be careful not to contaminate it. Remember that the success of the examination can depend on careful handling of the evidence. If you need any help in handling specimens, you should call your local crime laboratory.

Blood Examinations at the Laboratory

Once the law enforcement officer has properly delivered blood evidence, law enforcement's responsibility is over and the crime laboratory analyst's work begins. The analyst should: (a) write a full description of the evidence, (b) photograph it, and (c) examine it for fingerprints or any other trace evidence which might be transferred with the bloodstains. Then the analyst tests it to answer the following questions:

- Is this stain in fact blood?
- If so, is it human blood?
- If it is, what blood group is it?
- What enzyme groups does it belong to?

Safety

Blood not only transports oxygen, nutrients, and disease-fighting antibodies throughout the body but also transports the disease-causing materials. Therefore, safety procedures are a must when handling blood. These precautions should be followed any time you are in a laboratory or other facility in which bloodstained items have been handled in the open. Dried blood flakes from clothing and other items forms a fine dust which can float through air and contaminate any tables and utensils in the open. The following procedures, if followed while handling blood samples or items stained with blood, should prevent you from catching any blood-borne diseases.

- Do not handle any blood or bloodstained items if you have open cuts or wounds.
- Wear disposable gloves and a laboratory coat while handling blood or bloodstained items.
- Do not smoke, eat, or drink anything while in the laboratory.
- Do not put pencils, pens, or other items in your mouth while in the laboratory.
- On finishing your examinations, after removing gloves and lab coat, wash your hands before leaving the laboratory.
- Pipeting by mouth is prohibited.
- Items should be handled carefully to avoid scattering debris in the air.
- Laboratory work surfaces should be cleaned and decontaminated with bleach solution after finishing examinations.
- Any accident, especially a puncture of the skin, must be reported to the instructor immediately.

Nonspecific Chemical Test: Leuco-Malachite Test

In order to seek the answer to the question, "Is this stain actually blood?" you should perform a simple scientific test called the **nonspecific chemical test** or field test. Do this test by applying chemicals to the stain and observing a distinct color change. The most common nonspecific chemical test is the leuco-malachite test. General guidelines for the test follow:

STEP 1: Prepare the reagent:

- Mix 100 milliliters of acetic acid and 150 milliliters of distilled water.
- Dissolve one gram of leuco-malachite green indicator into this mixture.
- Add five or six drops of hydrogen peroxide to five milliliters of the solution. Be sure to add the hydrogen peroxide just before using the solution.

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nonspecific chemical test: does not specify by itself whether stain is blood or not; is used along with other tests to determine identity of a stain.

STEP 2: Place a very small particle of dried or liquid specimen on a piece of filter paper.

STEP 3: Add a few drops of reagent over the specimen.

STEP 4: Watch for the reaction. If the color of the suspected specimen changes to a bluish-green color, the specimen may be blood. (Milk, urine, and some fruit juices also give the same reaction, and therefore further testing is required.)

Species Determination: Precipitin Test

Once the results of the nonspecific chemical test indicate the stain may be blood, the next question is whether it is human blood. To answer this question, you should perform further tests, such as the precipitin test. This test can be performed on dried or fresh liquid blood using a microscope to see whether it is of human or animal origin and to identify the species of animal if it is not human blood. Many times a suspected stain in a criminal case is animal blood, so this test has important practical application.

Here are the general procedures for the precipitin test:

STEP 1: Obtain a saline (salt water) solution.

STEP 2: Obtain human serum solution (there are commercially produced serum solutions).

STEP 3: Add saline to the blood specimen.

- If the stained item is a piece of material, cut a section and place it in a test tube. Add several drops of saline to the test tube and soak the specimen in the saline for several hours.
- If the stained item is a weapon, car seat, or wall, apply the saline onto the specimen using a pipet or eyedropper several times. This will loosen and dissolve the specimen. (A dissolved specimen is the mixture of saline, serum, and **lysed blood cells.**)

STEP 4: Place the dissolved specimen into a test tube and spin it in a centrifuge. This will separate the solids (blood cells) from the liquids (saline and blood serum).

STEP 5: Very slowly add the testing serum solution to the test tube so that the serum forms a layer on top of the dissolved specimen.

STEP 6: Observe the reaction of the saline serum extract to the testing serum.

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lysed blood cells: ruptured blood cells.

- If a white ring forms where these two liquids meet, the specimen is human blood.

- If the white ring reaction does not occur, the blood specimen is not human blood. Then you could perform a series of tests with various animal serum-testing solutions until you identified the species of the animal blood. However, these further tests are not covered in this material.

Now complete the review questions beginning on the next page.

Review Questions (VI: A-2a)

Write your answers on a separate sheet of paper.

If there is more than one correct answer, write the letters of all correct answers.

1. Which **three** of the following contribute to the forensic value of bloodstain evidence?

    a. Bloodstain evidence provides clues in the investigation and aids in reconstruction of the crime.
    b. Bloodstain evidence provides the information that the blood collected from the crime scene belongs to type A, while the suspect's blood belongs to type O.
    c. A blood test would show that a victim of the crime had consumed large amounts of alcohol before the crime.
    d. Blood contains about 60 percent liquid and 20 percent solids.

For questions 2–5, match the components of blood in the left column with the functions of each component in the right column by writing the letter of the function next to the numbers 2–5.

Component	**Function**
2. red blood cells	a. transporting dissolved substances, blood cells, and platelets
3. white blood cells	b. carrying oxygen from lungs to the tissue of the body and waste gas from tissue to the lungs by means of hemoglobin
4. plasma	c. forming a clot in a blood vessel when the vessel is injured
5. platelets	d. destroying bacteria, protozoa, and other toxic products

For questions 6–10, suppose you are a law enforcement officer. At the crime scene, you find a victim lying on the ground, bleeding from his/her forehead. Suppose that you also find a bloodstained glove, which is still wet, next to the victim. An ambulance is on the way for the victim.

6. What are your responsibilities as a law enforcement officer in regard to blood evidence? (Choose **three** correct answers.)

    a. Have emergency medical personnel collect a blood sample from the victim in the emergency room of the hospital.
    b. Protect the evidence and photograph it.
    c. Collect a fresh liquid blood sample from the victim.
    d. Collect the bloodstained gloves.

7. When collecting fresh liquid blood from the scene, you should:

   a. put it in a druggist fold.
   b. freeze it until sent to the crime lab.
   c. put it in a sterile container such as a test tube.
   d. preserve it with sodium chloride.

8. After you obtained the wet bloodstained glove, what should you do?

   a. Put it in a bag and send it to the crime laboratory immediately before it dries out.
   b. Refrigerate it at 40 degrees Fahrenheit.
   c. Dry it with an electric hair dryer as soon as possible.
   d. Air dry it at room temperature before placing it in a paper bag.

9. How should you package the liquid blood and the bloodstained glove to send them to the laboratory?

   a. Place both of them in a plastic bag with two labels on it and seal it.
   b. Package them separately in individual paper bags, with a label and identification tag on each bag, and seal them.
   c. Place both of them in a plastic bag, attach an identification tag, and keep the bag open.
   d. Package them separately in an individual bag with an identification tag, and keep each bag open.

10. When you transfer the blood evidence to the crime laboratory, you should receive a receipt for chain of custody. Which **three** of the following should this receipt contain?

    a. date and time you transfer the evidence
    b. description of what is being transferred
    c. case number related to the evidence
    d. signature of the suspect

For questions 11 and 12, suppose you are a crime laboratory analyst.

11. After you receive a bloodstained glove from a law enforcement officer, what **three** things should you do before analyzing it?

    a. Make a blood smear slide for microscopic test.
    b. Write a full description of the specimen.
    c. Photograph the specimen.
    d. Examine it for any trace evidence.

12. The bloodstain is then tested to answer three general questions. What are these **three** questions?

    a. Is this stain, in fact, blood?
    b. Is it human blood?
    c. Which part of the body did the blood come from?
    d. What blood group is it?

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13. Which of the following tests will establish whether a suspected stain is blood?

    a. white blood cell test
    b. human precipitin test
    c. leuco-malachite test
    d. microscopic examination test

14. Suppose you are conducting the leuco-malachite green test, and the suspected specimen changes its color from red to bluish-green when you mix leuco-malachite green reagent with the specimen. This result indicates that the specimen might:

    a. be human blood.
    b. have come from the lower part of the human body.
    c. be blood.
    d. belong to a person who has a chronic disease.

15. If you want to identify the origin of a dried bloodstain (i.e. human or animal blood), which test should you conduct?

    a. benzidine test
    b. leuco-malachite test
    c. precipitin test
    d. microscopic examination

Check your answers with the correct ones provided in the answer key.

Practical Exercises (VI: A-2a)

1. From your instructor, obtain acetic acid, distilled water, leuco-malachite, filter paper, and a dried or liquid blood specimen. Conduct the leuco-malachite test. Check your work with your instructor.
2. In order to conduct a microscopic examination with liquid blood, you should be able to recognize cell structure of human and animal species. **Ask your instructor for a large assortment of blood film standards** (a set of microscope slides of the blood of humans and various animals). Human blood standards should include specimens of persons with blood diseases, abnormal cells, and so forth. These specific characteristics can be a means of narrowing down the field of suspects in investigative procedure.
3. **Study the standard slides until you can recognize the species and other characteristics of each blood film.** When you feel confident, ask your instructor to check your work.

Go on to the next part of this section, microscopic examination of blood evidence.

Microscopic Examination of Blood Evidence

Although this is a clinical procedure and very rarely used in a crime laboratory, it is part of the knowledge of a crime laboratory analyst. It demonstrates how an analyst can identify materials visually rather than with chemicals, and it also builds skill in using the compound microscope.

Categories of Microscopic Examination

Microscopic examinations require fresh liquid blood, whereas a precipitin test can be done with dried blood. There are basically three categories of collected blood for examinations:

- blood collected from the crime scene
- blood collected from individuals by finger puncture (using lancet)
- blood collected by venipuncture (using syringe)

The first two categories may be used for microscopic examinations, where a blood film is prepared on a slide for examination of the cells under the microscope. The third category is used mainly for grouping tests and for blood alcohol or drug determinations, although it may also be used for microscopic examinations.

Liquid blood collected from the crime scene. In this case, the contributor of the blood specimen is unknown or uncertain, and microscopic examination can be performed to identify the following:

- the origin of the blood specimen (human or animal) and, if animal, what kind
- other transfer evidence such as hair, fiber, saliva, and semen
- abnormal cell structure and disease that may be useful in comparing bloodstained evidence with sample blood from suspected persons
- bacteria and other microscopic organisms that may serve as specific characteristics in comparing evidence with sample blood from suspected persons

Blood collected from individuals by finger puncture. Samples of blood can be collected from a victim or suspect (dead or alive) by finger puncture and examined to identify the following:

- abnormal cell structure
- diseases
- bacteria and other microscopic organisms

The results of the examination of blood collected by finger puncture are compared with the results of examination of blood collected from the crime scene to determine if a bloodstain at the crime scene belongs to the victim or the suspect.

Blood collected by venipuncture. Some tests, such as those listed below, require a large quantity (several cubic centimeters) of blood. In such cases, a qualified laboratory technician or medical personnel should collect blood samples from forearm, wrist, hand, or ankle by using a syringe. Blood collected by venipuncture may be used for:

- toxicological tests, including alcohol and drugs, when poisoning is suspected
- extensive laboratory tests such as fluorometry, spectroscopy, gas chromatography, serology studies, immunohematology studies, and parasitology studies
- spatter tests required to duplicate size, velocity, and direction patterns left at the crime scene in an effort to reconstruct some conditions and events at the time of the crime.

Preparing a Blood Smear Slide and Conducting a Microscopic Examination

When you have learned to recognize the specific characteristics of the standard slides of human and animal blood specimens, you should be able to conduct the microscopic examination.

The following is a general guideline for preparing a blood smear slide and conducting a microscopic examination:

STEP 1: Assemble the following equipment:

- microscope
- liquid blood sample
- bottle of Wright's stain
- bottle of stain buffer
- several microscope slides

STEP 2: Put a drop of blood on one of the slides, about one inch from the end.

STEP 3: Set the slide on a clean surface, with blood side up.

STEP 4: Place the end of a second slide in the center of the first slide, holding it at a 30-degree angle.

STEP 5: Make a blood smear. To do this:

- pull the second slide back until it touches the blood (blood will spread along the end of the second slide)
- push the second slide along the first slide, maintaining the 30-degree angle (blood will flow along the first slide in a thin smear).

STEP 6: Air-dry the blood smear quickly to prevent cell crenation (shrinkage of red blood cells).

STEP 7: Stain the blood film. To do this, squeeze eight to ten drops of Wright's stain on the blood smear.

STEP 8: Add stain buffer solution to the smear about three minutes after staining.

STEP 9: Apply buffer solution again about two minutes after the first buffer application. Make sure the slide is thoroughly rinsed with the buffer solution.

STEP 10: Air-dry the slide.

STEP 11: Examine the slide under the microscope. If you need to review the procedures for using the microscope, see Section 1 of this unit.

STEP 12: Compare the cell structure and other specific characteristics of this sample blood with those of the standard slide. Then identify normal and any abnormal cells.

Blood Grouping

Once you have identified the blood as human blood, the next question is "Which group of blood is it?" Every person's blood belongs to one of four basic blood groups: A, B, AB, or O. This A-B-O blood grouping is based upon the presence or absence of antigen in the red cells. Antigen is a substance in the blood that stimulates the production of antibodies in the body.

Antigen Type	Blood Group
antigen A	A
antigen B	B
both antigen A and B	AB
neither antigen A nor B	O

An individual is born with or without antigen, and, beginning at birth, each individual develops antibodies to antigens in the blood serum. A person whose red blood cells contain antigen A would develop antibodies to antigen B (anti-B) in his/her blood serum, since B substance is foreign to A. And a person with antigen B would develop anti-A in his/her blood serum.

Blood Group	Antibody in Serum
A	anti-B
B	anti-A
AB	none
O	anti-A and anti-B

Therefore, when antigen A in red cells is mixed with anti-A serum, the red cells will be clumped together. When examining blood to identify blood groups, use this principle.

Examining Blood Group

STEP 1: Assemble supplies and equipment:

- two or more samples of liquid blood
- one bottle of anti-A blood-grouping serum
- one bottle of anti-B blood-grouping serum
- clean toothpicks
- several glass slides divided into two sections, one side marked "anti-A" and the other "anti-B"

STEP 2: Use a clean pipet to obtain drops of blood from one of the test tubes.

STEP 3: Place a drop of blood on the anti-A side of the slide.

STEP 4: Place a drop of blood on the anti-B side of the slide.

STEP 5: Add one drop of anti-A serum to the blood on the anti-A side of the slide.

STEP 6: Add one drop of anti-B serum to the blood on the anti-B side of the slide.

STEP 7: With a toothpick, mix anti-A serum and blood on the anti-A side, gently but thoroughly.

STEP 8: With another toothpick, mix anti-B serum and blood on the anti-B side, gently but thoroughly.

CAUTION: Do **not** mix anti-A and anti-B sides together. Do **not** use the same toothpick.

STEP 9: Observe the clumping reactions on both sides.

- If there is clumping on the anti-A side, the blood is type A.
- If there is clumping on the anti-B side, the blood is type B.
- If there are clumpings on both sides, the blood is type AB.
- If there is no clumping on either side, the blood is type O.

Summary

The forensic value of bloodstain evidence is that it can link a suspect to the crime by testing blood collected from the crime scene and blood collected from suspects and/or victims.

Blood is composed of **plasma** (liquid serum), **red cells**, **white cells**, and **platelets**. Plasma transports the cells, platelets, and other substances in the blood. Red cells carry oxygen by means of the hemoglobin from lungs to the tissues of the body and carry waste gas (carbon dioxide) from the tissues to the lungs to be expelled. White cells destroy bacteria, protozoa, and other toxic products. Platelets help in stopping the flow of blood when a blood vessel is injured.

It is a law enforcement officer's responsibility to identify, collect, safeguard, and transfer bloodstained evidence in a legally and scientifically acceptable way. To fulfill this responsibility, a law enforcement officer should handle liquid blood specimens, wet items with bloodstains, and dried bloodstains properly. Preserving and packaging evidence, completing identification tags, and maintaining chain of custody are important procedures in handling bloodstain evidence. The officer should send the evidence to the crime laboratory as soon as possible. If liquid blood needs to be stored for some reason, it must be refrigerated at about 40 degrees Fahrenheit.

Once the officer sends the bloodstains or liquid blood samples to the laboratory, his/her responsibility is over, and the laboratory analyst's work begins. At the laboratory, the analyst examines the evidence to seek the following answers:

(1) "Is this sample or stain actually blood?"

(2) "If so, is it human blood?"

(3) "If it is human blood, what blood group is it?"

To answer the question, "Is it blood?" nonspecific chemical tests such as leuco-malachite tests are conducted.

For the question, "If it is blood, is it human blood?" a precipitin test is conducted with a dried bloodstain and a microscopic examination may be conducted with liquid blood. To conduct a microscopic examination, a blood smear slide should be prepared.

If the stain is identified as human blood, an antigen-antibody examination is conducted to determine to which blood group the blood belongs.

- If clumping occurs when the blood specimen is mixed with anti-A serum, it is group A.

- If clumping occurs when the blood specimen is mixed with anti-B serum, it is group B.

- If clumping occurs with both anti-A and anti-B serum, it is group AB.

- If clumping does not occur with either anti-A or anti-B serum, it is group O.

Now complete the review questions beginning on the next page.

Review Questions (VI: A-2b)

Write your answers on a separate sheet of paper.

If there is more than one correct answer, write the letters of all correct answers.

1. If you want to identify the origin of liquid blood, whether it is human blood or animal blood, which **two** test(s) can you conduct?

   a. phenolphthalein test
   b. leuco-malachite test
   c. precipitin test
   d. microscopic test

2. Suppose you conduct a microscopic examination of blood collected by finger puncture from a victim. You would then try to identify:

   a. how the victim bled in the crime scene.
   b. whether the person had alcohol or a drug before shedding blood.
   c. other transfer evidence, such as hair and fiber.
   d. abnormal cell structure and disease.

3. The following are the steps for making a blood smear slide. They are listed out of sequence. Number each step to indicate the proper sequence of making a blood smear slide, 1 for the first step, 2 for the second step, and so on.

   a. Place a drop of blood on a slide about one inch from the end.
   b. Push the second slide along the first slide, maintaining a 30-degree angle.
   c. Air-dry the blood smear quickly.
   d. Add stain buffer to the smear about three minutes after staining, and then two minutes after the first buffer application.
   e. Place the end of the second slide in the center of the first at a 30-degree angle.
   f. Add several drops of Wright's stain on the blood smear.
   g. Pull the second slide back until it touches the blood.

4. If Mary has only antigen A in her red blood cells, what is her blood type?

   a. type A
   b. type B
   c. type AB
   d. type O

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5. If John has antigen A and B in his red blood cells, what is his blood type?

   a. type A
   b. type B
   c. type AB
   d. type O

6. Suppose you are blood type O. Which of the following antibodies do you have in your blood serum?

   a. anti-A
   b. anti-B
   c. none
   d. anti-A and anti-B

7. Suppose you are conducting a blood test for blood type. You mixed one drop of anti-A with the blood on one end of the slide and one drop of anti-B with the blood on the other end of the slide. There is no clumping on either side of the slide. What type of blood is it?

   a. type A
   b. type B
   c. type AB
   d. type O

8. If clumping happened on the anti-B side, what type of blood is it?

   a. type A
   b. type B
   c. type AB
   d. type O

Check your answers with the correct ones provided in the answer key.

Practical Exercises (VI: A-2b)

I. Prepare blood smear slides.

1. Obtain the equipment necessary for blood smear slide preparation: microscope, two liquid blood samples, Wright's stain, stain buffer, and several microscope slides.
2. Make two blood smear slides.
3. Examine each slide under the microscope, and write the results.
4. Discuss your work with your instructor and your classmates.

II. Identify blood types.

1. Obtain the equipment necessary for identification of blood type: two blood samples, four glass slides divided into two sections, anti-A blood serum, anti-B blood serum, and clean toothpicks.
2. Conduct the test for each person and write down (a) the procedure, (b) the results of the test, and (c) the type of blood.
3. Check your work with your instructor.

When you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: A-2).

Block VI: Criminalistics
Unit A: Basic Forensic Examinations
Section 3: Hair Examination

Ask your instructor for the pretest for this section (VI: A-3). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

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11. In the photograph below, which shows hair from a dog?

a. A
b. B
c. C
d. D

Introduction

Many crimes, such as battery or rape, involve direct physical contact between the victim and perpetrator. Whenever such contact is involved, there is almost always a transfer of microscopic evidence. This section will deal with the examination of one type of transfer—hair.

Hair identification is being intensely researched at the present time and has more potential for the future. The research has been stimulated by the multiple murders of young black children in Atlanta, Georgia, and an arrest based largely upon hair and fiber evidence in June, 1981. Currently, hair evidence is not being used as much as it could be. This is because of the difficulty in properly collecting hairs from the scene and the individual involved in a crime, the rigor involved in conducting a hair comparison, and the inability to positively identify an individual from a hair.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify reasons for the importance of the examination of hair evidence.
2. Identify limitations of the examination of hair evidence.
3. Name the part of the hair that is of most value in forensic science.
4. Identify two characteristics in differentiating human hair and animal hair.
5. Given a picture showing hair from different parts of the human body viewed under a microscope, identify the parts of the body from which the hair was removed.
6. Given pictures of human hair separated in different ways as viewed under a microscope, identify how the hair has been removed from the body.
7. Given pictures of different animal hairs as viewed under a microscope, identify the type of animal from which they came.
8. Given a hypothetical task of examining hair evidence, identify the characteristics you should look for, examination procedures, and possible results of such an examination.

Performance Objectives

Given a microscope and a set of standards (slides containing samples of hair), identify correctly, in writing, various characteristics of the strands of hair being examined. Your performance should be rated "A" (acceptable) on all tasks below:

1. Select the correct objective lens.
2. Adjust and focus the microscope correctly.
3. Identify, in writing, characteristics of hair samples:
    - human or animal hair
    - if animal hair, its species
    - if human, some comparison characteristics
4. Clean up the station and equipment.
5. Perform the tasks in an acceptable amount of time.

Value of Hair Examinations to a Criminal Investigation

There are many ways in which the examination of hair evidence can facilitate a criminal investigation. For example, a suspect can be placed at the scene of a crime by examining hair found from the following:

- an interchange of hair between a victim and suspect in close contact crimes
- hairs from the suspect left at the scene by contact with points of entry (window, roof, etc.)
- animal hairs of family pets at the scene

The examination of hair evidence can also help identify the weapon or instrument used in a crime. Examples would include hairs on tools, knives, guns, clubs, etc.

Hair evidence can also help identify the vehicles used in a crime. This type of evidence can be transferred to a vehicle in the following ways:

- In a hit-and-run accident, hair may adhere to the suspect's vehicle exterior.
- If a crime is actually committed in a vehicle, hairs may adhere to the suspect's vehicle interior.

Limitations of Hair Evidence

Although the examination of hair evidence can facilitate an investigation, this evidence has limitations:

- Usually, hair evidence is class-type evidence.
- Due to small size, a special effort must be made to locate hair.
- Usually hair identification is not of value for initial identification of suspects, but it may corroborate other evidence after a suspect is developed in the case.
- Age cannot be determined by hair evidence.

Characteristics of Hair

Before we discuss the examination of hair, let's see what a section of hair looks like.

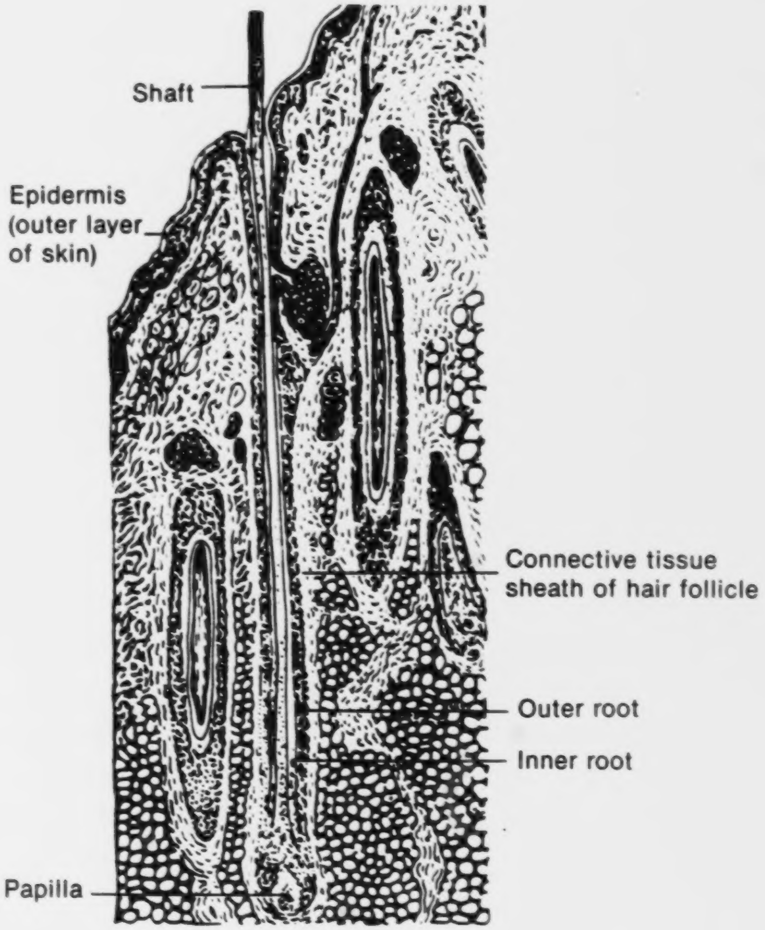
Shaft
Epidermis (outer layer of skin)
Connective tissue sheath of hair follicle
Outer root
Inner root
Papilla

Figure A-3-1
Vertical Section of Human Scalp

From Criminalistics for the Law Enforcement Officer, by Anthony L. Califana and Jerome S. Levkov. McGraw-Hill, 1978. Used with permission.

Hair is composed of the **root**, the **shaft**, and the **tip**. Of these three, the shaft is of most value in forensic examination. The shaft has these three parts:

- **Cuticle**—the outside covering. The cuticle is covered with scales or shingles which are unique in their arrangement to different species (i.e., human, animals).

- **Cortex**—the middle layer. The cortex is the source of color in human hair. It contains melanin grains ranging from black and brown through yellow-red, or, in older persons, gray or transparent—with air pockets.

- **Medulla**—the centermost canal, sometimes called the "core."

The medulla, the innermost core of a strand of hair, is found most often in the center section of hair, usually thick hair. In human hair the medulla is sometimes absent or may not be continuous. In humans, the medulla is less than one-third the diameter of the hair, while this varies in animals. Therefore, the diameter of the medulla is a useful characteristic in differentiating between human and animal hair. Another difference in human and animal hair is the cell structure of the medulla. In animals, the medulla is usually a series of cells. These may adjoin or, in some animals, the segments may be separated. The type and degree of segmentation of cells is one of the characteristics in differentiating among animal species.

Figure A-3-2 illustrates the various kinds of cell structures that may be present in the hair of humans and different animals.

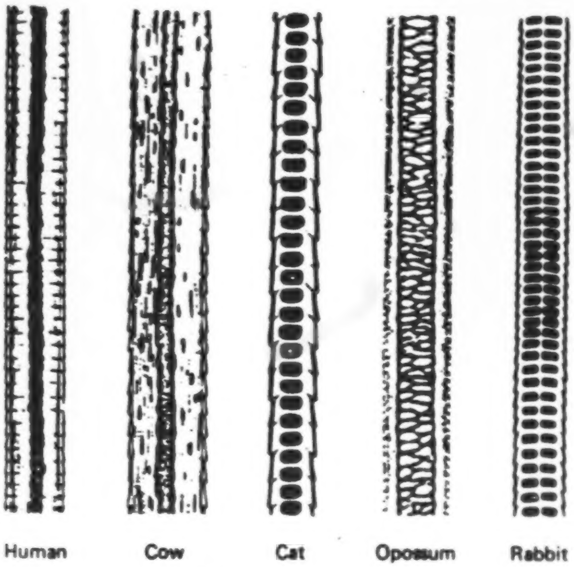

Figure A-3-2
Medullas of Human and Animal Hairs

From Criminalistics for the Law Enforcement Officer, by Anthony L. Califana and Jerome S. Levkov. McGraw-Hill, 1978. Used with permission.

Human Hair

Hair from various parts of the body. Hair from different parts of the body differ in various characteristics. The differences as described below vary with individuals and races:

- **Scalp hair** contains more cuticle, cortex, and medulla than hair from other parts of the body. Hair that is long and straight normally comes from the scalp and no other part of the body. A person's scalp hair has a consistent diameter. Hairs from the scalp are all about the same thickness and have more definite characteristics.

- **Eyebrow, eyelash, and nose hair** is much thicker than scalp hair. Hair from the eyelashes, eyebrows, and nostrils will usually have long tapering ends and be generally stiff. These hairs also have thicker medullas than those of the scalp. Hair from the chest, arms, back, and legs is softer and thinner than hair from the eyebrows and eyelashes.

- **Trunk hair** has less definite characteristics; it varies in thickness but is similar to scalp hair.

- **Beard hair** has a triangular cross section and is coarse and wiry.

- **Pubic and underarm hairs** are generally coarser, more wiry, and curlier than those on other parts of the body. Pubic or underarm hair that appears to have a square end when examined under the microscope indicates that the hair has been recently cut. If the hair has a pointed end, this suggests that the hair has never been cut. If continuous rubbing against clothing has occurred, the ends of the hair will appear frayed.

Figure A-3-3 illustrates the differences in beard, pubic, and scalp hairs when they are examined under the microscope.

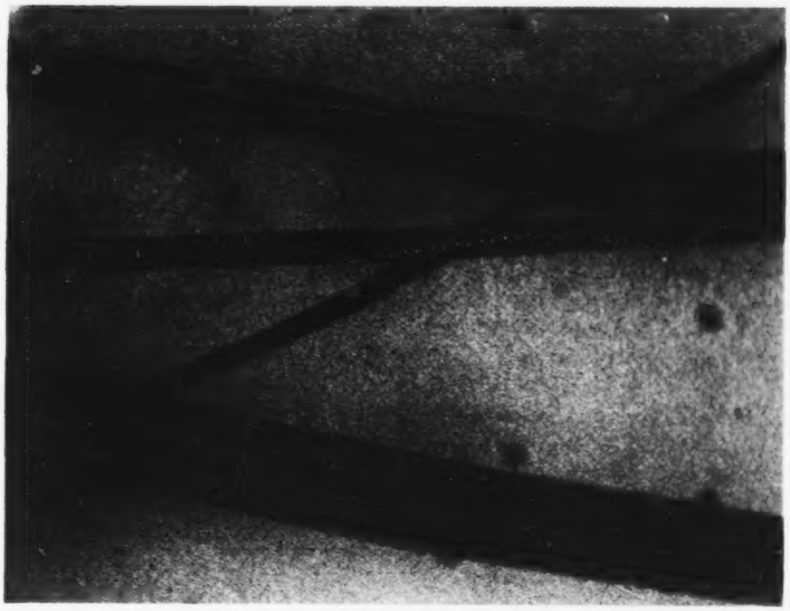

Figure A-3-3
Body Hair Viewed under a Microscope

Hair from various races. Hair from different races may have varying characteristics.

- Caucasian: oval in shape, contains a fine to coarse pigmentation, and has the highest number of colors.
- Negroid: flat to oval, contains a heavy concentration of pigment which is unevenly distributed and dark in color.
- Mongoloid (Oriental, Eskimo, American Indian): round in shape, contains dense pigmentation which is evenly distributed and is black in color.

NOTE: It is important to note that with the increasing frequency of intermarriages it has become more and more difficult to make race identifications of hair.

Male and Female Hair. Although hair lacks individual characteristics needed for conclusive identification by sex, the following class characteristics are observable.

- Male hair is usually of larger diameter and stiffer texture than that of the female.
- Cosmetic processes cause split ends in the hair of females. Most males have their hair cut more frequently so that split ends are not a characteristic.

Condition of Hair. An examination of hair can indicate many things about the condition of the hair itself or how the hair was removed from the scalp.

- Sometimes it is possible to determine how long it has been since hair was last dyed. This is determined by measuring the new growth that does not contain dye.
- You can approximate the length of time since the last haircut. This is done by examining the end of a piece of hair. Hair that has a somewhat square end has been cut one or two days prior to its examination. When more time has elapsed since the last cutting, the hair may appear jagged.
- The examination of hair might also reveal blood, sand, soil, semen, chalk, dust, and many other substances.
- A microscopic examination of hair will reveal whether a piece of hair has fallen out naturally or been broken, cut, or pulled out (see Figure A-3-4). When examined under a microscope, a hair that has been recently pulled out will have a white, transparent substance around the root.

Figure A-3-4
Human Hairs Separated in Different Ways

Animal Hair

If hair under examination is identified as animal hair, then the species can be identified, such as dog, cat, horse, rabbit, etc. Figure A-3-5 shows different animal hair (goat, dog, rabbit, and seal) as viewed under a microscope.

Figure A-3-5
Animal Hairs Viewed under a Microscope

Examination of Hair

Hairs collected from the victim's clothing, hands, or vehicles used in a crime can be compared with a known sample of hair from the suspect or victim.

An adequate sample of hair from a suspect or victim should consist of approximately 50 full-length hairs. Separate samples should be collected from each part of the body which may have been involved in the case. These hairs should be collected by combing or pulling. If this is not feasible, they should be clipped as close to the skin as possible.

When hair is examined in a forensic laboratory, it is first studied with a low power stereoscopic microscope and then with a comparison microscope.

When a forensic laboratory analyst examines hair evidence, s(he) should substitute the regular compound microscope for the comparison microscope, looking for the following microscopic characteristics:

1. Species characteristics
    - medullary index
    - scale pattern
    - pigment grain size
    - cell structure
2. Body area characteristics
    - overall shape
    - cross section
    - medulla
    - tip
    - diameter size
    - diameter variation
    - texture
    - buckling
3. Comparison characteristics
    - color
    - cuticle
    - cortex
    - pigment distribution
    - pigment density
    - pigment size
    - shaft diameter
    - medulla type
    - medulla size
    - treatment
4. Other characteristics
    - root shape/condition
    - tip shape/condition
    - damage
5. Foreign substances
    - blood
    - semen
    - earwax
    - paint
    - flour
    - grease (automobile)
    - metal filings

Possible Results of Hair Examination and Conclusions

Hair can be determined as to whether it came from a human or an animal. If animal, the species can be identified, such as dog, cat, horse, deer, etc. If human, the hair can reveal:

- origin of race: Negroid, Caucasian, Mongoloid
- body area: head, pubic, chest, limb
- removal: force, natural shedding
- condition: cut, crushed, or burned
- alterations: bleaching, dying, chemical processing, natural versus artificial waving.

However, sex or age cannot be determined in most cases. Below is a list of possible conclusions that can be reached as a result of examining hair evidence.

1. The hair evidence and sample hairs match in microscopic characteristics and could have originated from the same source or from another source with the same hair characteristics.

2. Hair evidence and sample hairs do not match and did not originate from the same source.

3. No conclusion could be reached.

Summary

The examination of hair evidence can aid a criminal investigation by identifying hairs left at the scene of a crime. However, hair evidence has certain limitations since it is usually considered class evidence.

As a result of the 1981 Atlanta murders, there has been a growing interest in the potential strength of hair evidence. Therefore, it is important for people interested in this area of forensic microscopy to become familiar with the characteristics of hair and the various techniques used for examining this type of evidence.

This section has presented an overview of the important concepts in hair identification. Below is a summary of the major concepts covered.

1. Hair is composed of the following:

    - root
    - shaft
    - tip.

2. The shaft is of most value in forensic examination. The shaft is composed of:

    - cuticle
    - cortex
    - medulla.

3. When examining hair, both the stereomicroscope and the comparison microscope should be used.

4. Some of the questions that can be answered when examining hair include:

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- Is the hair of human or animal origin?
- If of animal origin, of which species is it?
- If of human origin, from what part of the body did it originate?
- What is the race and probable sex of the individual from which it originated?
- Was the hair subjected to any chemicals?
- Was the hair pulled or did it fall out naturally?

Now complete the review questions beginning on the next page.

Review Questions (VI: A-3)

Write your answers on a separate sheet of paper.

When there is more than one correct answer, write the letters of all correct answers.

1. Hair evidence can place a suspect at the scene by which **three** of the following?

   a. interchange of suspect's and victim's hair
   b. suspect's hair left at point of entry
   c. animal hair adhering to suspect's clothes and shoes
   d. taking sample hair from the victim's hair

2. Hair evidence may indicate a weapon or other instrument of a crime by which **two** of the following?

   a. victim's hair on knife in possession of suspect
   b. suspect's hair in victim's hand
   c. victim's hair on suspect's automobile
   d. suspect's hair on victim's clothing

3. Which **two** of the following limitations apply to hair evidence at the present time?

   a. Human hair and animal hair look alike.
   b. Due to small size, a special effort must be made to locate hair.
   c. Hair is of no value at all.
   d. Hair identification is of little value to identify suspects initially.

4. Hair is composed of which **three** of the following?

   a. root
   b. shaft
   c. tip
   d. skin

5. Which of the following is of most value in forensic examination?

   a. shaft
   b. cuticle
   c. cortex
   d. medulla

6. Which **two** of the following are useful characteristics in differentiating between human and animal hair?

   a. diameter of medulla
   b. color of medulla
   c. cell structure of medulla
   d. type and degree of segmentation of medulla

7. If hair is determined to be from a human, which **three** of the following can be determined next?

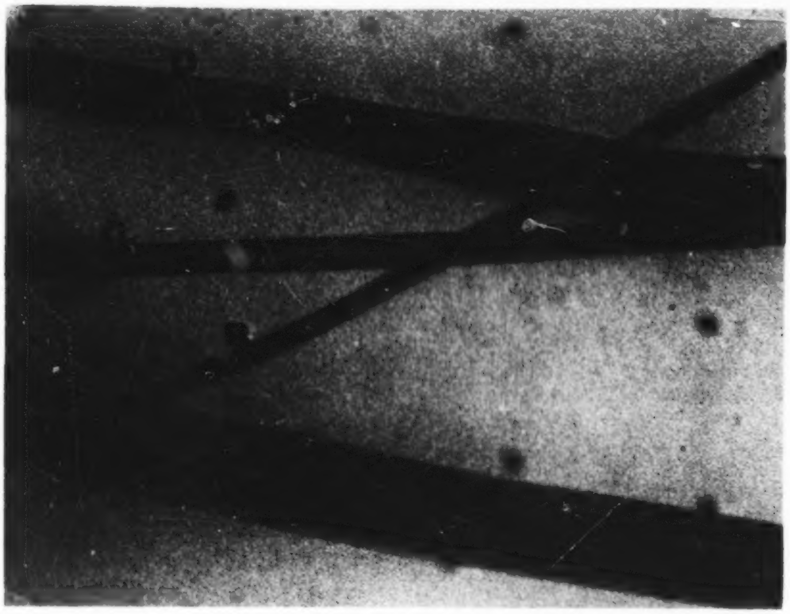
   a. origin of race
   b. body area where hair is from
   c. how hair was removed
   d. age of person

8. A person's sex can be determined from a hair sample:

   a. very specifically in all cases.
   b. very accurately in most cases.
   c. not very reliably in most cases.
   d. in no case at all.

9. The picture below shows human hair from different parts of the body. Which shows beard hair?

   a. A
   b. B
   c. C
   d. D



10. The photograph on the next page shows different conditions of human hair as viewed from a microscope. Which shows hair that has been cut?

   a. A
   b. B
   c. C
   d. D

12. If hair is determined to be from an animal, what else can be determined?

    a. the age of the animal
    b. the species of animal, i.e., cat, dog, horse, etc.
    c. the sex of the animal
    d. the size of the animal

13. Suppose law enforcement officers collected several strands of hair from the crime scene. What else do they need to obtain for examination of the hair in a criminal investigation?

    I. Sample of hair from the victim
    II. Sample of hair from the suspect

    a. I only
    b. II only
    c. both I and II
    d. neither I nor II

14. Suppose that a hair examination indicated that hair evidence collected from the crime scene and sample hair from the suspect do not match. Which **two** of the following conclusions would you make?

    a. The victim may not be a victim of the crime.
    b. The suspect was not involved in the crime.
    c. Hair evidence and sample hair did not originate from the same individual.
    d. The hair evidence originated from someone other than the suspect in question.

15. When examining hair for a criminal investigation, which **two** of the following microscopes would you use?

    a. single lens mounted on a flexible arm
    b. stereomicroscope
    c. comparison microscope
    d. reconstruction microscope

Check your answers with the correct ones provided in the answer key.

Practical Exercise (VI: A-3)

1. Ask your instructor for a microscope and a set of slides containing samples of hair.

2. Examine the slides under the microscopes and list various characteristics of the hair samples.

3. Discuss the results of your examination with your instructor and classmates, then record your refined observations in your notebook.

4. Collect, by combining, a sample of about 30 hairs from your head. Examine these hairs with the stereo- and biological microscope. Note and record similar and differing characteristics present.

5. Collect samples of human and animal hair and construct your own slides to examine the cuticle pattern and scale structure under the microscope. Use the following procedure as a general guideline to construct your slides:

   a. Obtain clear nail polish.
   b. Put a one-inch bead of polish on a slide.
   c. Lay the hair on top of the bead and let it embed.
   d. Wait until the polish becomes firm but not hard.
   e. Pull the hair back out slowly.
   f. Draw the scale structure observed.

   Then discuss your work with your instructor and classmates.

When you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: A-3).

Block VI: Criminalistics

Unit A: Basic Forensic Examinations

Section 4: Fiber Examination

Ask your instructor for the pretest for this section (VI: A-4). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

Fiber evidence is another transfer item. Much like hair evidence, it has particular significance in close contact crimes where cross-transfer is likely between suspect and victim, suspect and crime scene, or victim and the instrumentalities of crime. Everything said about hair as a transfer item is usually applicable to fiber evidence. Much research is being done on fiber-trace evidence, and it has excellent potential for future development.

This topic will deal with some basic aspects of fiber evidence.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the importance and limitations of fiber identification for an investigation.
2. Given characteristics and/or examples of different types of fibers, identify the type of fiber described.
3. Given illustrations of microscopic views of fibers, identify the illustrated fiber.
4. Given a hypothetical situation of examining fiber evidence, identify the characteristics to look for and the possible conclusions.

Performance Objectives

Given a microscope and a slide set of standard fibers of various types (with their labels covered), list the characteristics of each specimen accurately. Your performance on the following tasks should be rated "A" (acceptable):

1. Select the correct objective lens.
2. Adjust and focus the microscope correctly.
3. Identify, in writing, characteristics of fiber specimens.
4. Clean up the station and equipment.
5. Perform the tasks in an acceptable amount of time.

Value of Fiber Examinations

Fiber evidence is a specialty of the crime laboratory which has value in criminal investigations. Fiber examinations can help an investigation in these ways:

1. It places a suspect at the scene of a crime through the identification of fiber found from:
    - the interchange of fiber and textile materials between victims and offenders in close contact crimes
    - the examination of the scene of the crime for fibers left by the suspect at points of entry (windows, doors, roof)
    - the examination of the suspect for fibers that may be carried from the scene of a crime (curtains, blankets, furniture).
2. It identifies weapons or instruments of a crime by the identification of fibers in the blood on weapons and other objects.
3. It identifies vehicles used in a crime by the identification of:
    - fibers or weave patterns from a suspect's clothing adhering to or imprinted on vehicles in hit-and-run cases
    - fibers from clothing of hostages and rape or kidnap victims left in vehicles or fibers transferred to the suspect.

Limitations of Fiber Evidence

Cloth fragments used for binding victims or torn from the suspect during a struggle often have specific characteristics which can be matched to the original piece of cloth. However, fiber evidence shares the same limitations as hair evidence:

1. Small fragments or single threads of textiles usually contain only class characteristics.
2. Fiber evidence is usually not of value for initial identification of suspects but may corroborate other identifying evidence when a suspect is developed in the case.
3. Due to the small size, as in hair evidence, a special effort must be made to find fiber evidence.
4. Fibers can easily be contaminated, therefore, extreme care is required in handling such evidence.

Examining Fiber Evidence

Like hair evidence, fiber evidence should be examined with both the stereoscopic microscope and the comparison microscope. You can substitute the compound microscope for the comparison microscope in this class.

Fiber Characteristics

When examining fiber evidence, you should note certain characteristics described below. Fibers can be grouped into the following four classes according to their sources:

1. Animal fiber

   Most animal fibers are actually hair and possess the same characteristics as hair, such as medullas. Examples of animal fiber are: wool, silk, mink, muskrat, camel's hair. Silk, being a nonhair animal fiber, looks different under the microscope (see Figure A-4-1).

2. Vegetable fiber

   Vegetable fibers do not have scales or medullas, but they do have a readily observable cellular structure.

Figure A-4-1
Animal Fiber (Silk) Viewed under the Microscope

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Some of the characteristics you should note when examining vegetable fiber include:

- plant cell shape
- size
- chlorophyll content
- thickness of cell wall
- any indication of disease
- diameter of shaft
- distance between segments
- characteristics of striations along shaft
- reaction to various stains.

Some examples of vegetable fibers include cotton, hemp, linen, sisal, and manila (see Figure A-4-2).

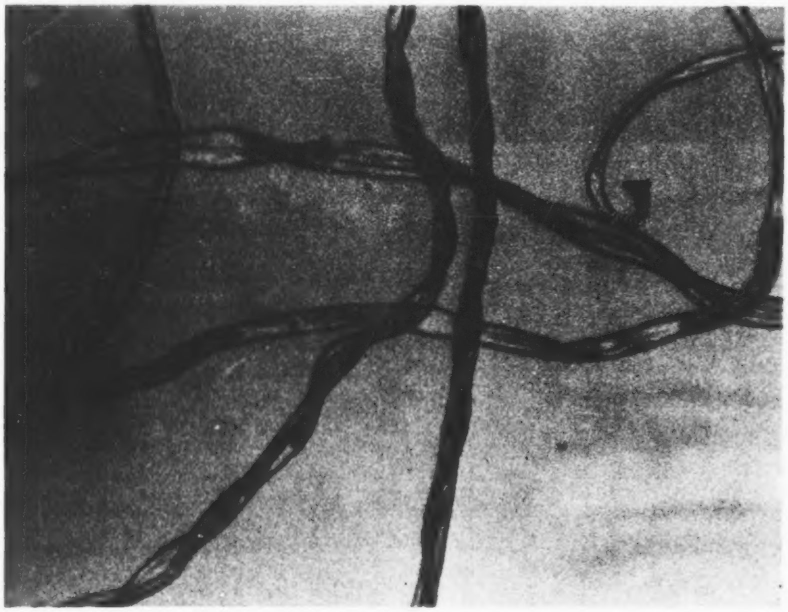

Figure A-4-2
Vegetable Fiber (Cotton) under the Microscope

3. Mineral fiber

Mineral fibers include glass fibers and asbestos fibers. Presently, glass fibers are being used to produce curtains and various other household fabrics, insulating material, and reinforcing fabric in fiberglass plastics, asphalt roofing paper, and other similar products. When examining mineral fibers, you should note the following:

- pigment
- size
- any unusual characteristics
- weave patterns

4. Synthetic fiber

Synthetics do not have the cuticle patterns (scales), medulla, or cortex characteristics of animal fibers. Therefore, they are more difficult to identify by appearance only (see Figure A-4-3). Synthetic fibers may be identifiable to a particular manufacturer by cross-sectional shape. The cross section may be round, triangular, striated, hollow, or other shapes (see Figure A-4-4).

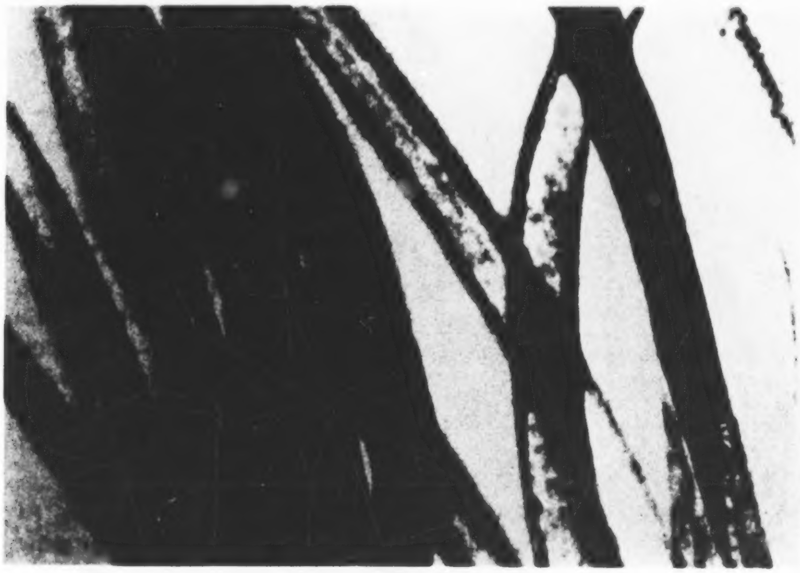

Figure A-4-3
Synthetic Fiber Blend (75% Acrylic and 25% Polyester)

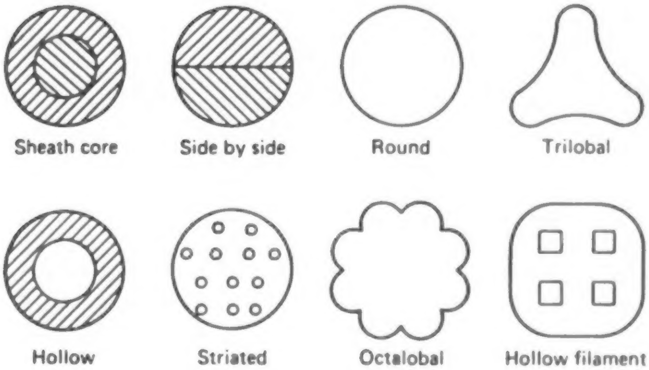
Sheath core
Side by side
Round
Trilobal
Hollow
Striated
Octalobal
Hollow filament

Figure A-4-4
Cross Section of Synthetic Fibers

From Criminalistics for the Law Enforcement Officer, by Anthony L. Califana and Jerome S. Levkov. McGraw-Hill, 1978. Used with permission.

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In addition to characterizing synthetics through their cross section, crime laboratories use other techniques to distinguish between synthetic fibers. These techniques include gas chromatography and chemical and optical analysis.

There are 21 different generic types of synthetic fibers. Examples include polyester, rayon, nylon, acrylic, and polypropylene.

Other Fiber and Fabric Examinations

1. **Rope construction**—Rope is made by twisting fibers into yarns, yarns into strands, and strands into rope. Plain-laid rope uses three strands laid up with a right twist. Shroud-laid rope uses four strands laid up with a right twist around a single core strand. Cable-laid rope uses three strands of plain-laid rope twisted to the left.

   In studying fiber evidence, the analyst examines rope evidence, often referring to cordage. Cordage is rope used to tie or strangle a victim. The analyst tries to determine the composition, construction, and diameter of the rope in question. Comparisons with similar types of rope should also be made. The end of the questioned rope can sometimes be matched with a piece of known rope. The manufacturer can sometimes be determined if **tracer** is present.

2. **Fabric construction**—A fiber is the smallest filament or strand of a fabric yarn. The yarn is made up of a number of fibers. The fibers are twisted together to produce the yarn commonly used to weave the fabric. How tight or loose the fibers are twisted, and in which direction, is an important characteristic in comparing suspect and known samples.

3. **Tape**—Tape samples can include adhesive, electrician's, and masking tape. Examining tape for evidence is similar to fabric examinations. Often a piece left at the scene (to tape victim, etc.) can be matched to a roll in custody.

4. **Weave patterns**—The design of the cloth of various fabrics can be very characteristic. The diameter of the threads, number of fibers, twist, and specific design features of the pattern can be important in comparing a suspect or known piece of cloth with a cloth impression.

   Related examinations can reveal if fabric is cut, torn, or burned. Parts of broken buttons can be matched, and glove prints and fabric impressions can be analyzed.

Microscopic Views of Fiber Samples

Fiber samples are examined with the compound microscope. Figure A-4-5 shows microscopic views of cotton, linen, and hemp.

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tracer: a rare and unusual chemical contained in a fabric in order for the fabric manufacturer to identify its own products (useful in law suit).

Other microscopic examinations include determining the melting point, determining optical properties such as refractive index, birefringence, and optic sign, and observing fluorescent colors. The fluorescent colors are produced on a microscope equipped with an ultraviolet light. A miniature furnace called a hot stage is mounted on a microscope and used to melt the fibers. A polarizing microscope is used to determine the optical properties.

The procedures to determine the optical properties require considerable training, but a normal compound microscope equipped with a simple polarizer and analyzer will show you the features an analyst observes in making his/her measurements.

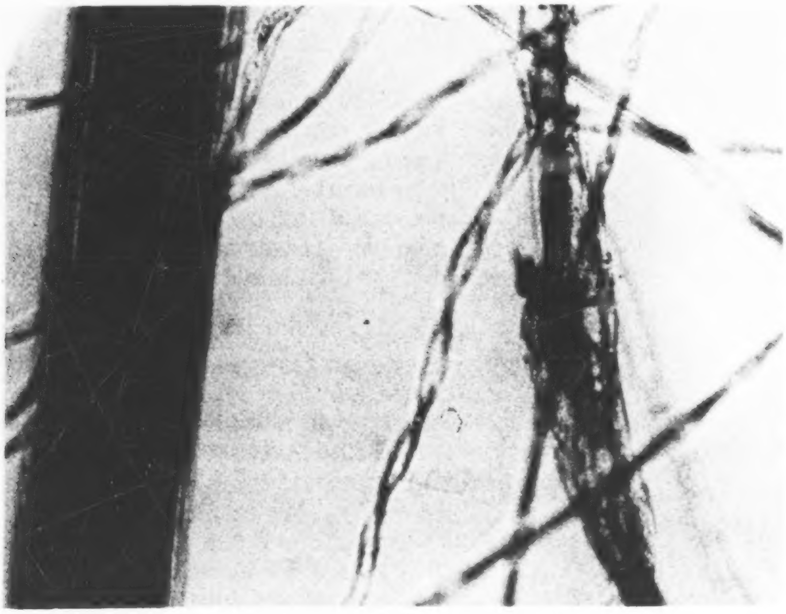

Figure A-4-5
Vegetable Fiber Materials Viewed under Microscope

Possible Results of Fiber Examinations

As a result of examining samples of fiber evidence, you may be able to find the type of textile fiber, whether it is animal (woolen fibers, hair coats), vegetable (cotton, hemp, manila, linen), synthetic (nylon, polyester, rayon), or mineral (glass fiber). The analysts may also decide whether the fibers found at the crime scene match those from the suspect in relation to type, color, and other characteristics. This includes studying the composition of the yarn to try to arrive at a match between the fabric in question and the known fabric. Positive identification is possible if a questioned piece can be fitted to a known fabric.

Summary

1. The examination of fiber evidence can facilitate a criminal investigation in the following ways:

- It can help identify the vehicles used in a crime.
- It can help identify the weapons used in a crime.
- It can help place a suspect at the scene of a crime.

2. Although the examination of fibers has potential strength as an investigative tool, it has certain limitations:

   - Small fragments or single threads usually have only class characteristics.
   - Fiber evidence is usually not of value for initial identification of suspects.
   - Due to the small size, a special effort must be made to find fiber evidence and to prevent it from being contaminated.

3. When examining fiber evidence, certain characteristics are important to note. These include:

   - the class (animal, vegetable, mineral, or synthetic) to which the sample belongs
   - the specific kinds of fiber, within its major class
   - the cordage characteristics of the fiber sample.

4. Some conclusions that may be reached as a result of examining fiber evidence include:

   - the type of textile **fiber**
   - whether the characteristics of the fiber examined match those from the suspect
   - the composition and construction of the **yarn**
   - whether the characteristics of the **fabric** examined match those of the known fabric.

Now complete the review questions beginning on next page 85.

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Review Questions (VI: A-4)

Write your answers on a separate sheet of paper.

When there is more than one correct answer, write the letters of all correct answers.

1. Fiber evidence can place a suspect at the scene by which **three** of the following?

   a. interchange of fibers between victim and offender
   b. imprint of weave pattern of suspect's gloves at scene
   c. fibers from the scene adhering to suspect's clothes
   d. fibers taken from the victim

2. It is possible to identify a vehicle used in a crime by which **two** of the following?

   a. fibers from victim's clothes on law enforcement officer
   b. fibers from victim's clothes on bumper
   c. weave pattern from victim's clothes on fender
   d. fibers left on victim

3. Which **three** of the following are limitations of fiber evidence?

   a. Single-thread evidence has only class characteristics.
   b. Due to its small size, it is difficult to find.
   c. Fiber identification is not of value for initial identification of suspect.
   d. Fiber evidence does not support other transfer evidence.

4. Textiles can be manufactured from which **three** of the following?

   a. animal materials
   b. vegetable and mineral materials
   c. water solvents
   d. petroleum materials

5. Which of the following is of animal origin?

   a. hemp
   b. wool
   c. nylon
   d. glass wool

6. Which **two** of the following are of vegetable origin?

   a. cotton
   b. wool
   c. linen
   d. nylon

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7. Which **two** of the following are synthetic materials?

   a. wool
   b. nylon
   c. rayon
   d. cotton

8. Which **three** of the following are terms used in rope construction?

   a. fibers
   b. yarns
   c. strands
   d. nylons

9. Which **three** of the following are true?

   a. "Fibers" are twisted together to produce a "yarn."
   b. Weave patterns can have comparative value.
   c. The diameter of thread and twist can have comparative value.
   d. Pieces of tape cannot be matched together.

For questions 10–18, characteristics and fiber examples are listed in the left column and four fiber types are listed in the right column. Match the types with their characteristics and examples by writing the letter of the type next to the number of each characteristic and example on your paper. (Hint: One of the characteristics applies to three types of fiber.)

Characteristics and Examples

10. has the same characteristics as hair

11. is used for curtains and other industrial fabrics

12. has a readily observable cellular structure

13. is difficult to identify by its appearance only

14. does not have cuticle patterns, medulla, or cortex characteristics

15. rayon, nylon, and orlon are examples of this type of fiber

16. glass and asbestos are examples of this type of fiber

17. wool and silk are examples of this type

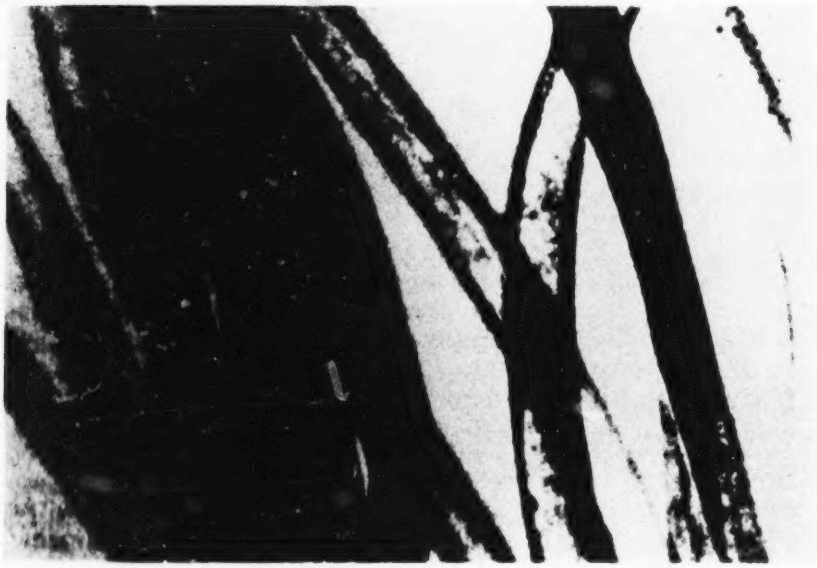
18. linen, sisal, and manila are examples of this type of fiber

Type

a. vegetable fiber
b. mineral fiber
c. synthetic fiber
d. animal fiber

19. What type of fiber does the following picture show?

a. animal
b. vegetable
c. synthetic
d. mineral



20. Which **three** of the following are possible results of fiber examination?

a. identifying composition and construction of yarn
b. identifying similarity of type, color, and weave
c. fitting a torn piece of cloth to its origin
d. identifying a fiber as coming from a piece of cloth

Check your answers with the correct ones provided in the answer key.

I. Operate a standard microscope.

1. Ask your instructor for a microscope and a slide set of standard fibers of animal, vegetable, mineral, and synthetic origin.

2. Study these slides, and make notes of the characteristics of each specimen.

3. Cover the labels of the slides, and identify the characteristics of these samples.

4. Ask your instructor to review the results of your work or uncover the labels and review your own work.

II. Operate a modified microscope.

1. Ask your instructor for a microscope modified with a polarizer and an analyzer.

2. Observe each of the slides with the polarizer and analyzer positioned so that the microscope field is almost dark.

3. Rotate the slide and record your observations.

4. Review your findings with your instructor.

When you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: A-4).

Block VI: Criminalistics
Unit A: Basic Forensic Examinations
Section 5: Broken Glass Examination

Ask your instructor for the pretest for this section (VI: A-5). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

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Introduction

You have learned about techniques for identifying physical evidence by studying the identification of blood in Section 2. You have also learned about comparing physical evidence by studying hairs and fibers in Sections 3 and 4. **Identification** and **comparison** are the two most common types of examination used in a crime laboratory.

In this section you will be introduced to a third type of examination, **reconstruction,** which is used more often at the crime scene than in the laboratory. There are several techniques for reconstruction examinations, such as observing blood spatters, and establishing such things as **point of entry**, direction of travel of a suspect, movement of items at the scene, cause and origin of a fire, and cause of death. Most of these require considerable training and practical experience, and cannot be performed in a classroom situation. For these reasons, this section will focus on a single aspect of crime reconstruction, that of broken glass examination. Glass is one of the most commonly encountered materials in our environment and is often involved in a crime. Students of criminal justice programs should become familiar with the value of glass as evidence and the basic procedures involved in glass examination.

In this section you will cover the characteristics of glass, types of glass, value of glass examination, glass fractures, features of broken glass, and basic procedures for broken glass examination.

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point of entry: the door, window, roof, etc., through which a burglar entered a building.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify types of glass normally encountered in a crime investigation.
2. Distinguish between ordinary glass and the two common types of safety glass.
3. Identify or describe the collection/preservation considerations involving glass at a crime scene.
4. Identify or describe the investigative value of broken glass examination.
5. Identify the features of mechanical and thermal breaking of glass.

Performance Objectives

Given a stereomicroscope and pieces of ordinary glass (mechanically broken and broken by a projectile), tempered glass, and laminated glass, perform the following tasks. Your performance on all of these tasks should be rated "A" (acceptable).

1. Identify samples of broken glass as ordinary glass, tempered glass, or laminated glass.
2. For ordinary glass, determine if it was broken thermally or mechanically.
3. For mechanically broken glass, determine the direction of force when 50 percent of the pieces are given.
4. For glass broken by a projectile, determine the projectile's direction of travel (entry and exit).
5. Clean the work area and equipment.
6. Follow safety precautions.
7. Perform these tasks in an appropriate amount of time.

Characteristics of Glass

Glass is a substance which looks like a solid but behaves as a supercooled liquid. In other words, glass has the noncrystalline structure of a liquid but holds its shape at room temperature as does a crystalline solid. When glass breaks, it doesn't break like a crystalline solid but instead forms unique fracture patterns. These unique characteristics of glass aid in determining the direction from which force was applied to break the glass. Determination of the direction of breaking force can help laboratory analysts identify how the glass was broken, for example, by mechanical or thermal force.

Types of Glass

There are many different types of glass, from ordinary glass to spaceship glass which can withstand heat up to 900°C. However, types of glass most commonly found at crime scenes or used in committing crimes are as follows:

- window glass, windshields, and mirrors of a vehicle
- window glass of a building
- bottle and drinking glasses
- headlight lenses and light bulbs
- eyeglasses and watch crystals
- fiberglass insulation and reinforcing fibers

These types of glass can be generally categorized as either ordinary or safety glass. Ordinary glass is easy to break and shatters into small, pointed fragments.

Safety glass can be further categorized as both tempered and laminated glass. Tempered glass is much more resistant to breaking than ordinary glass, but when it does break, it shatters into hundreds of very small fragments. These small fragments are not pointed as in ordinary glass fractures, but are small, blunt chunks. Tempered glass can be found in automobile side and rear windows as well as sliding glass doors and windows in public buildings. Safety eyeglasses worn in a laboratory are usually made of tempered glass.

Another type of safety glass, laminated glass, has a piece of plastic sandwiched in between two pieces of glass. When it breaks, the glass sticks to the plastic instead of flying through the air. This type of safety glass is used in automobile windshields, which helps keep vehicle passengers from crashing through the windshield in an accident.

Value of Glass Examination

Valid results of broken glass examination are important in both criminal and civil investigations, because they can help establish what happened in the commission of a crime and how it was done. Its evidentiary value lies in the fact that there are many different formulas used in the manufacture of glass, and thus individual pieces are more readily identifiable.

In order to have valid results of broken glass evidence for investigation, law enforcement officers and investigators should observe these collection procedures:

- Wear gloves and handle the glass evidence by its edges.
- Photograph the glass evidence immediately.
- Package glass found in different places separately. For example, glass found on the floor inside a broken window, glass found outside a broken window, and the glass remaining in the frame of the broken window should be packaged separately in three different containers.
- Package glass evidence in a rigid container, not in a paper bag, plastic bag, or mailing envelope, to protect broken or fractured edges of the glass evidence from any damage or breakage.
- Mark the container with identifying data.
- Send it to a crime laboratory in person, by mail (certified or registered mail and return receipt), or by shipping.

The laboratory analyst then conducts a broken glass examination which includes the fracture patterns in the glass, the direction from which force was applied to break the glass, the particular characteristics of a glass-breaking projectile, as well as comparison of **known glass** and **questioned glass**. Other important concerns are sources of glass fragments and whether glass particles found with a victim or a suspect came from a crime scene. In a hit-and-run case, for example, it might be necessary to determine if glass fragments found at the scene came from a headlight on the suspect's vehicle.

Some other examples of how the results of broken glass examination can help identify suspect(s) are listed below:

- Fingerprints, blood, hairs, or fibers left on a broken window at the point of entry match with those found on the suspect.
- Small glass fragments which adhered to a burglar's clothes when s(he) broke a window to gain entry match with small glass fragments found at the crime scene.
- Traces of drugs and poisons adhering to or contained in broken bottles and drinking glasses help investigators identify drugs or poisons used in a crime.

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known glass: the glass found from a known source such as a broken window or a broken headlight.

questioned glass: the glass found on a suspect's clothing or shoes, or at a crime scene.

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- The way in which a light bulb has melted indicates the direction of the origin of a fire.
- Glass fragments may show the direction from which a window was broken. Also, which of two bullets was fired first through a window can be determined from the remaining glass.

The last two examples are examples of reconstruction. These and other types of reconstruction examinations can help in establishing what happened in the commission of a crime, when it happened, and how it happened.

Features of Broken Glass

In order to reconstruct a crime with broken glass evidence, laboratory analysts examine the known features of broken glass. For example, the force which breaks glass may be mechanical or thermal, two forces which cause very different features in the glass fragments.

Glass Broken by Mechanical Force

When a mechanical force such as a bullet hits glass, the initial impact causes bending and flexing of the glass, particularly when its ends are held rigid in a sill, as shown in Figure A-5-2. The point where the bullet hits is the point of impact, and the path of the bullet is the primary direction of force. Induced directions of force are the areas where bending and flexing occur (see Figure A-5-1).

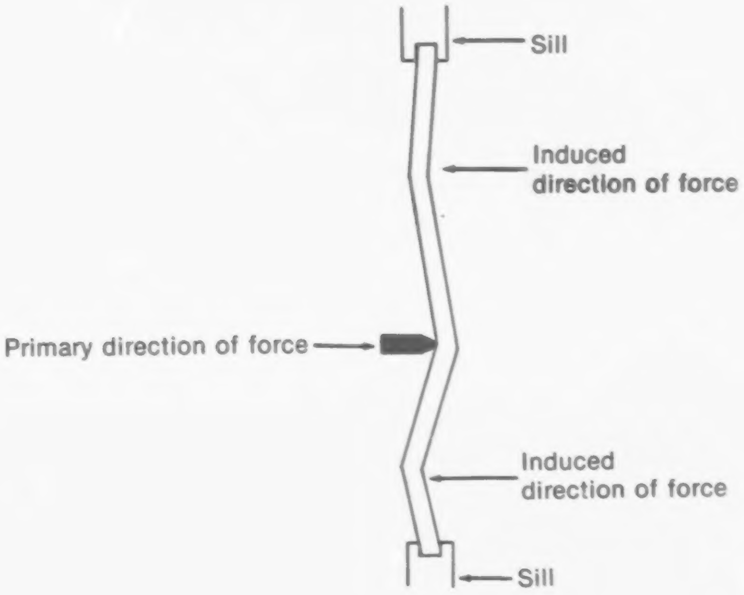

Sill
Induced direction of force
Primary direction of force
Induced direction of force
Sill

Figure A-5-1
Primary and Induced Directions of Force

These forces produce two different types of fractures in the pane of glass. One is called concentric, and the other is called radial. Concentric fractures form in circles around the point of impact and radial fractures radiate away from the point of impact (as in Figure A-5-2).

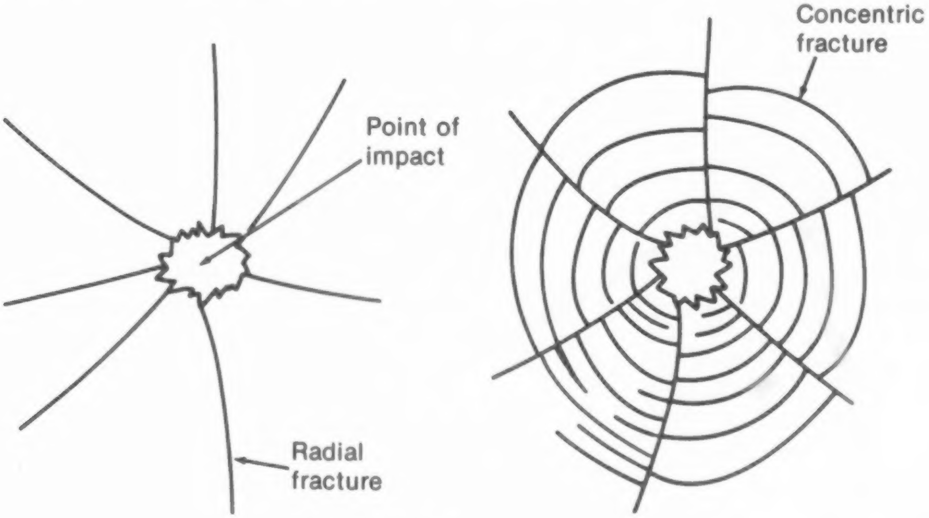

Point of impact
Radial fracture
Concentric fracture

Figure A-5-2
Radial and Concentric Fractures

From Criminalistics for the Investigator, by Francis Joseph DeAngelis. © 1980 by Glenco Publishing Co. Used with permission.

Four of the features that glass exhibits when it breaks due to mechanical force help investigators analyze and reconstruct the glass surface. These features are as follows:

1. Tiny chips of broken glass fly backward 10 to 20 feet, although the majority of larger flakes or fragments occur on the exit side of the glass pieces (see Figure A-5-3). This feature makes it quite possible to find fragments on a suspect even though the suspect was well back from the glass.

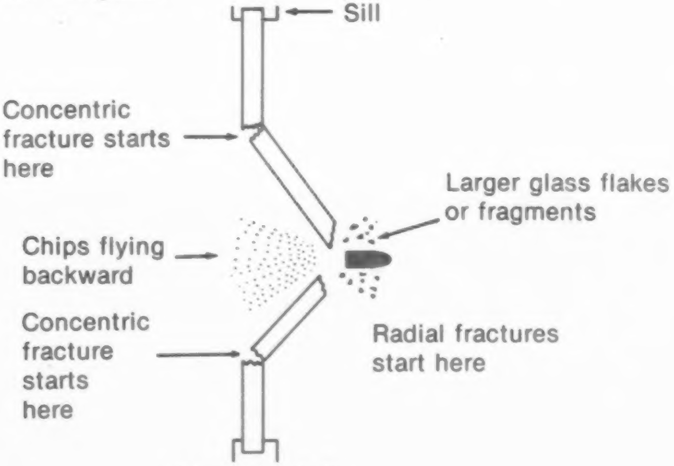
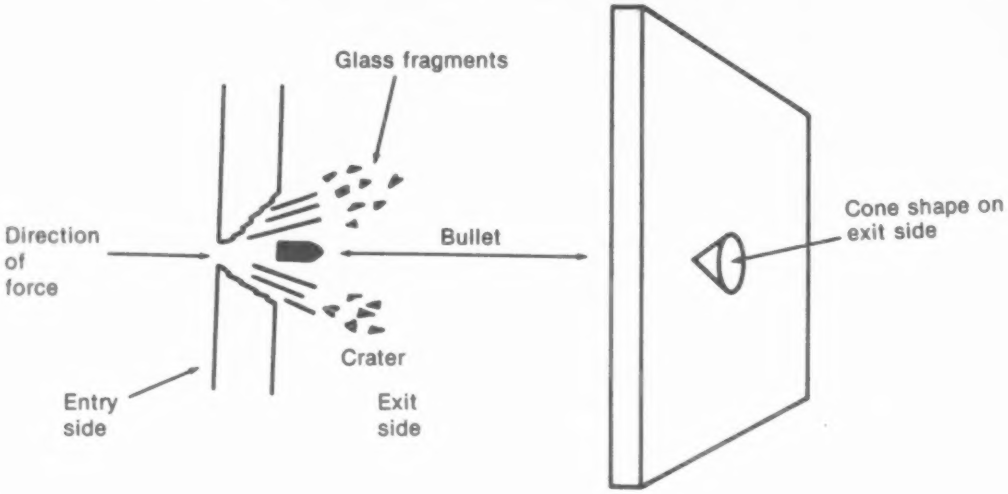

Sill
Concentric fracture starts here
Larger glass flakes or fragments
Chips flying backward
Concentric fracture starts here
Radial fractures start here

Figure A-5-3
Broken Chips Flying Backwards

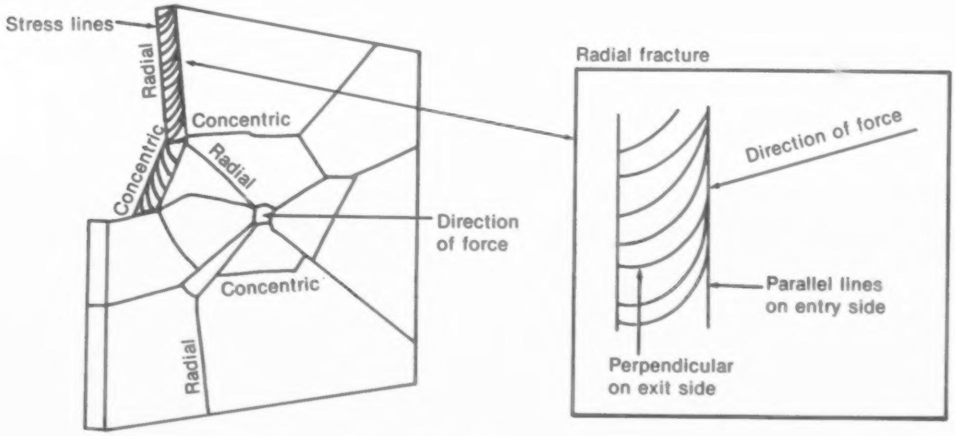
2. Craters form on the exit side due to projectile impact or penetration. Bullet penetration of glass panes or high speed projectiles produce a cone shape on the exit side (see Figure A-5-4). Therefore, by examining the cone shape, the direction of force can be determined.



Glass fragments
Direction of force
Bullet
Cone shape on exit side
Crater
Entry side
Exit side

Figure A-5-4
Crater and Cone Shape on Exit Side

3. Stress lines (also called stress marks or conchoidal striations) form along the broken edges. In radial fractures, the stress lines are parallel on the entry side and perpendicular on the exit side. In concentric fractures, perpendicular stress lines will be on the entry side (see Figure A-5-5). This feature makes it possible to determine the direction of the breaking force. If the glass is broken by a tool, brick, or even a fist, there will be no cone shape for examination. In such a case, analysts can determine the direction of force by examining stress lines on the radial fractures near the point of impact. To do this, a laboratory analyst should have a sufficient amount of glass to reconstruct a portion of the pane from the edge to the point of impact.



Stress lines
Radial
Concentric
Concentric
Radial
Direction of force
Concentric
Radial
Radial fracture
Direction of force
Parallel lines on entry side
Perpendicular on exit side

Figure A-5-5
Stress Lines and Direction of Force

4. One fracture cannot cross a previously formed fracture. This feature makes it possible to determine the order of fire of bullets. Figure A-5-6 shows that radial fractures of the second bullet stop when they reach the radial and concentric fractures formed by the first bullet.

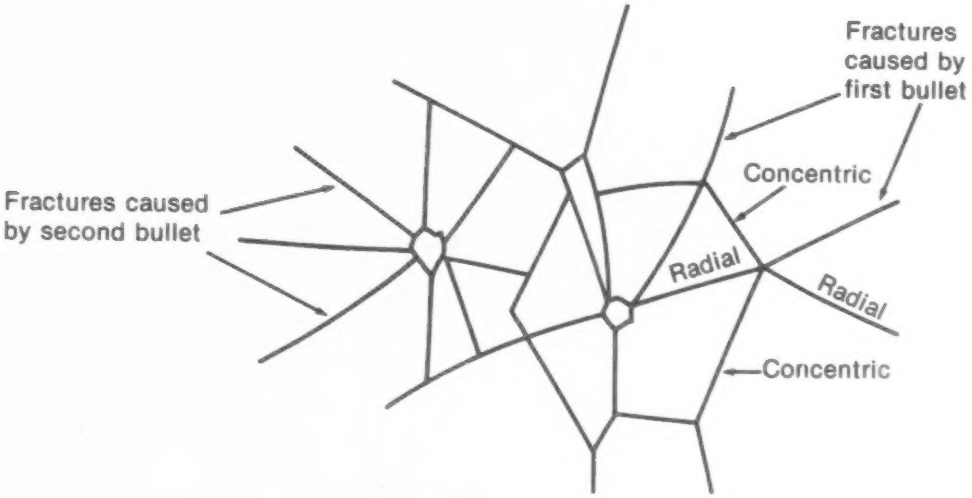

Fractures caused by first bullet
Concentric
Fractures caused by second bullet
Radial
Radial
Concentric

Figure A-5-6
Multiple Glass Fractures Caused by Two Bullets

Glass Broken by Thermal Force

Glass broken due to a thermal force such as intense heat cracks in wavy lines and may fall toward the fire side. A light bulb will melt on the side facing a fire.

Broken Glass Examination

Broken glass examinations are usually conducted to compare known glass and questioned glass or to reconstruct the glass. To do this, pieces of the broken glass must be put together and examined under the microscope. Then, the laboratory analyst can determine whether the questioned glass is from a single pane, a bottle, headlight, or other source. If sufficient portions of a bottle or headlight can be put together, the manufacturer or type of object can be determined.

As we discussed in the introduction of this section, reconstruction is a very complex task requiring much training and experience. However, a very basic and general procedure for examining broken glass can be described in this way:

STEP 1: Put pieces of broken glass back together as much as possible.

STEP 2: Locate point of impact.

STEP 3: Determine radial fractures and concentric fractures.

STEP 4: Using a stereomicroscope, examine the stress lines on the radial fracture near the point of impact and determine the direction of breaking force.

NOTE: The direction of the breaking force normally cannot be determined from the tempered glass found in the windows of automobiles or from very small panes of glass.

STEP 5: In shooting cases, verify the direction traveled by the projectile by locating the side of the glass with the cone shape. This will be the exit side.

Summary

Glass is frequently encountered in the investigation of a crime. Due to it unique nature, broken glass can be valuable physical evidence in associating a suspect with a crime scene, or in reconstructions.

Glass can be categorized as follows:

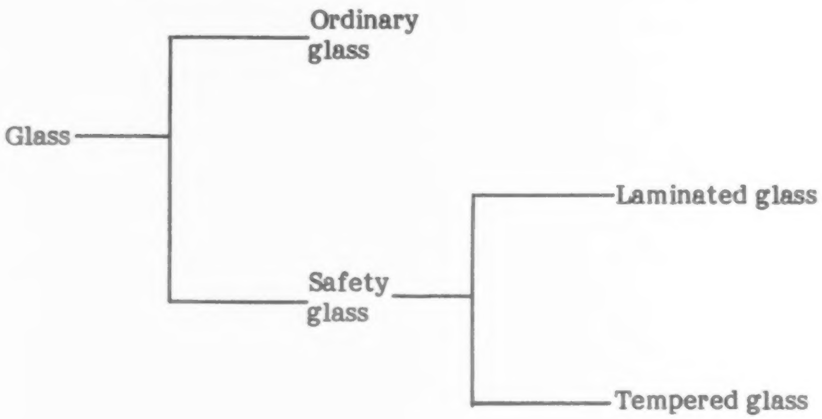


Figure A-5-7
Glass Categories

Collecting glass depends on the type of examination required. In all cases, careful handling, photography, good notes, and separately packing samples from different locations are critical.

There are two types of fractures: radial and concentric. Radial (or primary) fractures start on the opposite side (exit side) of the impact force, while concentric fractures start on the same side (entry side) of the breaking force.

Glass broken by mechanical force can be analyzed by examining features such as:

- stress lines on the broken edges
- craters on the exit side of a projectile penetration (or impact)
- path of the cracks in a multiple break

- **small fragments which fly backward while the majority of larger chunks occur on the exit side.**

Glass broken due to thermal force (heat) may either melt or crack in a wavy manner (see Figure A-5-8).

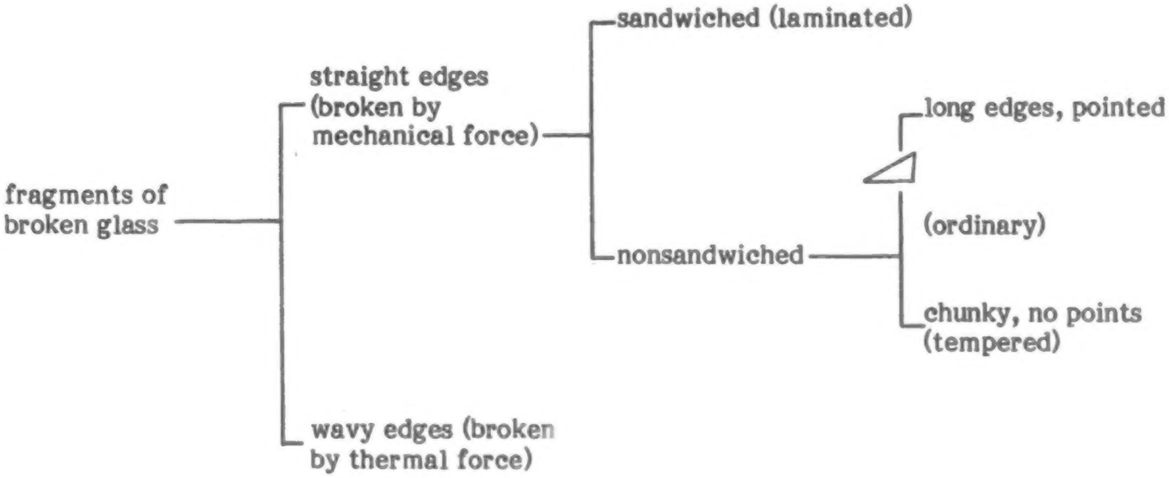

fragments of broken glass
straight edges (broken by mechanical force)
sandwiched (laminated)
nonsandwiched
long edges, pointed
(ordinary)
chunky, no points (tempered)
wavy edges (broken by thermal force)

Figure A-5-8
Thermal and Mechanical Breaking Force

Now complete the review questions beginning on the next page.

Review Questions (VI: A-5)

Write your answers on a separate sheet of paper.

When there is more than one correct answer, write the letters of all correct answers.

1. Which **three** of the following types of glass are often involved in a crime?

   a. beer bottles
   b. automobile windshield
   c. spaceship window glass
   d. storefront plate glass

2. Which **two** of the following are types of safety glass?

   a. tempered
   b. plate
   c. laminated
   d. polarized

3. Glass being collected at a crime scene should be:

   a. sterilized.
   b. photographed.
   c. packaged separately.
   d. packaged/transported to avoid breakage.

4. Glass may be used for which **three** of the following purposes in an investigation?

   a. eyeglasses to identify the owner/suspect
   b. greenhouse glass to determine the amount of light transmission
   c. window glass to determine who shot first
   d. window glass to retain fingerprints

5. Which **two** of the following features can be analyzed in a mechanical break of ordinary glass?

   a. stress marks on the broken edges
   b. craters due to a projectile
   c. the direction the glass melts
   d. wavy cracks due to heat

Check your answers with the correct ones provided in the answer key.

Practical Exercise (VI: A-5)

Group work is recommended for the practical exercise for examining broken glass because this exercise involves breaking pieces of glass, which can be dangerous and is not practical to do on an individual basis. The following are suggested procedures for this exercise:

1. Make sure a stereomicroscope is available to you for this exercise.

2. Make sure you follow all appropriate safety precautions.

3. Observe your instructor's demonstration of breaking glass. To demonstrate glass broken by mechanical force, your instructor may break a piece of glass by throwing a projectile (ball bearing or stone) at the glass or by tapping the glass with a small hammer. S(he) should also break the other pieces of glass with a propane torch to demonstrate glass broken by thermal force.

   CAUTION: When breaking glass, one must wear lab coats and safety glasses at all times. When handling the larger pieces of glass, one should wear leather gloves to avoid cuts.

   NOTE: If this demonstration is not practical, then your instructor may provide you with broken glass.

4. Using the stereomicroscope, examine the broken glass in terms of stress lines and craters, and identify the direction of breaking force.

5. Clean the work area and equipment.

6. Discuss your findings with your instructor and classmates.

When you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: A-5).

Block VI: Criminalistics

Unit B: Basic Forensic Photography

Section 1: Basic Photography and Taking Photographs

Ask your instructor for the pretest for this section (VI: B-1). After you complete the pretest, your instructor will let you know whether to study this section or take the posttest.

Introduction

The statement "one picture is worth a thousand words" accurately applies to criminal justice work. The camera is a basic tool in various criminal justice occupations because it preserves evidence on photographic film. The patrol officer, for example, must photograph automobile-accident scenes, and the criminal investigator must photograph crime scenes, evidence, and suspects. In addition, the camera is constantly used by crime-scene evidence technicians and crime-laboratory analysts, who depend heavily upon special photographic techniques. Forensic medicine has photo specialists producing prints and color slides on every criminal homicide. Prosecuting attorneys and defense attorneys must know photography to examine or cross-examine photographic expert witnesses. In short, photography is not a recreational or "nice-to-know" subject in this vocational field; it is a professional "must-know" subject.

In this section you will learn the major features of the camera (see Figure B-1-1) and the basic principles of photography. This is information you'll need in order to begin taking proper photographs.

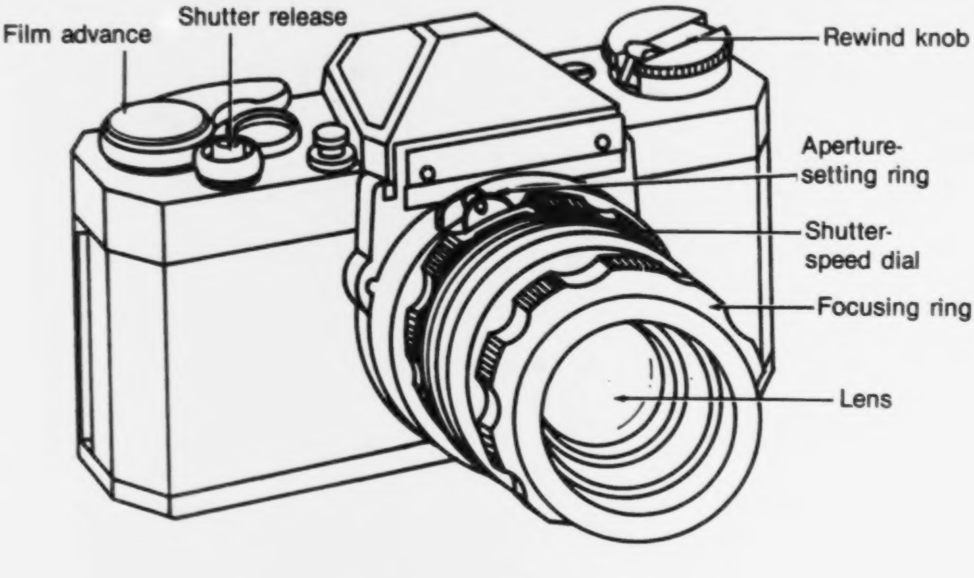


Figure B-1-1
Single-Lens Reflex Camera

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the names and special characteristics of the two basic cameras recommended for forensic photography.
2. Identify the basic purpose of the camera lens.
3. Define the photographic term "focal length."
4. Describe the function of the diaphragm.
5. Identify the relationship between the size of the f-number and the diameter of the lens opening.
6. Identify two types of shutters according to function, structure, range of speed, and use of flash.
7. Given different types of film and lighting situations, identify the type of film that should be used for each given situation.
8. Define "depth of field."
9. List four factors that determine correct exposure.
10. List the basic steps for taking pictures with an adjustable camera.

Performance Objectives

Given a camera and a cartridge of film, take pictures of objects of your choice. Your performance and products will be evaluated with the use of a performance checklist. Your performance and products should be rated "A" (acceptable) on all of the items listed on the checklist.

Tasks:

1. Set the film speed correctly.
2. Load the film correctly.
3. Select the shutter speed correctly.
4. Set the aperture ring for proper lighting.
5. Turn the focusing ring to focus the object.

6. Compose the picture in the viewfinder.

7. Hold the camera steady.

8. Depress the shutter-release button firmly but gently.

9. Advance the film to the next exposure.

10. Perform the above tasks in an acceptable amount of time.

Products:

Each photograph has

- sharp focus
- exposure to acceptable amount of light
- relevant composition
- appropriate distance.

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Basic Cameras

On the market today there are many good cameras that can be used for forensic work. Each has its advantages and its disadvantages. Versatile ones are expensive and often complex to operate. Simple ones are usually less expensive, but there are some tasks for which they cannot be used.

The **nomenclature** of photography and cameras is often confusing. And many cameras seem to have an overwhelming number of adjustments, any of which can go wrong. But you can master any common camera with a little study, if you know its major parts and basic operational principles.

The camera is a **lighttight** box that contains a lens. The lens bends the light rays reflected from an object and focuses them onto a film. This creates an image of the object on the film (see Figure B-1-2).

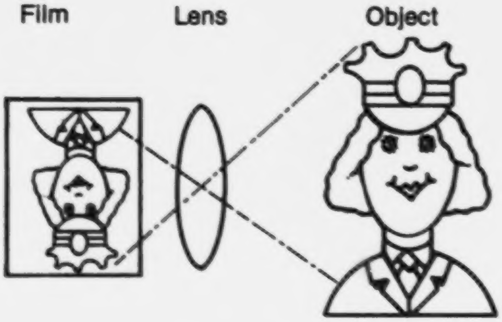

Figure B-1-2
Image of the Object on the Film

A camera must have four basic parts to create the image of an object on the film. The other parts of a camera are convenience parts. Following are the four basic parts:

1. a lighttight box to protect and support the film
2. a lens to let light in and focus it onto the film
3. a shutter to control the length of time light is allowed to enter the camera

---

nomenclature: a system or set of terms used in a particular science or discipline.

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lighttight: lightproof.

4. film to record the light and image

Following are the convenience parts:

1. a way to view what is being photographed
2. a film-advancing mechanism
3. accessory lenses and filters
4. a light-metering system
5. a diaphragm to vary the amount of light entering the camera
6. an artificial light system (usually a flash)
7. a remote-timing, light-sensing system

Some cameras have all or several of the convenience features, and others have none of them. Some of these features are automatic on some cameras and manually operated on others.

Cameras are often classified by the film size they use. Common examples include 35mm, 110, 4 x 5 (inches), and 120.

NOTE: In film sizes, there is no standard unit or method of measurement.

The size of the film used is an important factor in the choice of a camera for forensic work. Larger film sizes, such as the 4 x 5, can capture more detail and produce more magnification through greater enlargement. Smaller film sizes, such as the 110, allow smaller cameras, which are lighter and more convenient to carry and use. Popular compromises for general work are cameras using 35mm and 120 film.

There are basically two types of 35mm cameras: the range-finder camera and the reflex camera. A range-finder camera is one that uses a range finder to focus. A reflex camera is one that focuses through the lens onto a ground glass.

The range finder is a small telescope above the lens. It has a set of two prisms, each of which produces an image on the rear lens of the telescope. The prisms are calibrated so that when the images are superimposed a dial will read the distance to the object (see Figure B-1-3). This type of camera is good for general crime-, fire-, and accident-scene photography, but it lacks the flexibility for good close-up photographs and telephotographs.

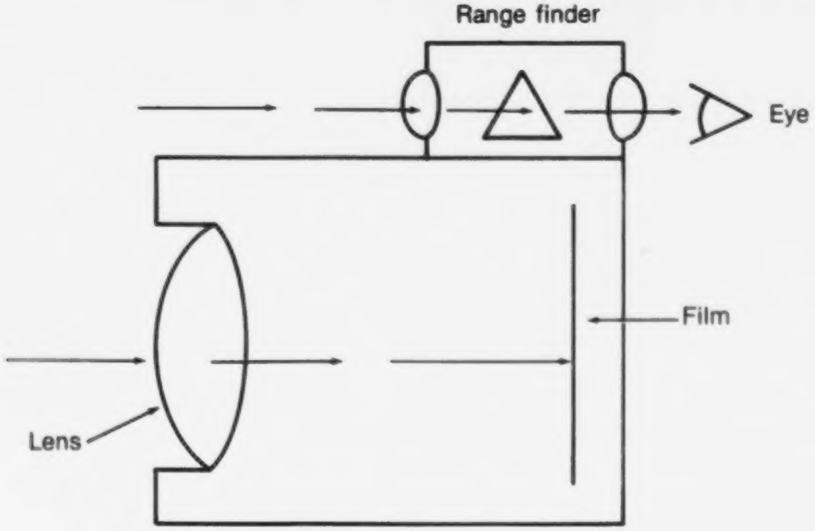

Figure B-1-3
A Range-Finder Camera

In a reflex camera, the object (or the scene) to be photographed is reflected by a mirror onto a glass, where it is focused and composed. There are two types of reflex cameras: the single-lens reflex camera, which uses 35mm film, and the twin-lens reflex camera, which uses 120 roll film.

In the single-lens reflex camera, an object or scene is viewed through the same lens that exposes the film. A movable mirror directs the light to a viewfinder, which views and focuses the image; then the mirror moves out of the way, and the image is exposed on the film. The viewfinder turns the image on the ground glass right side up for convenient viewing (see Figure B-1-4).

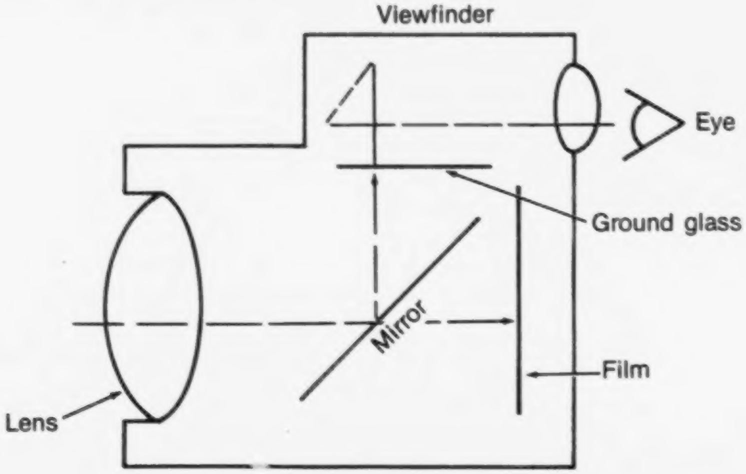

Figure B-1-4
Single-Lens Reflex Camera

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The prime advantage of the 35mm, single-lens reflex camera is its versatility. Formatting a photograph using wide-angle, telephoto, and close-up lenses is easier with this kind of camera since what is seen through the viewfinder is what is actually going to be on the film.

The twin-lens reflex camera was once a very popular camera, but it is used less today than formerly because it lacks the versatility and convenience of the single-lens reflex camera. It uses two separate lens systems. One focuses the image and the other exposes the film. The two lenses move together so that when the image is correctly focused on the ground glass it will be properly focused for the film also (see Figure B-1-5). The twin-lens reflex camera produces a 2 1/4 x 2 1/4-inch square negative, which is larger than the negative of the 35mm, single-lens reflex camera. Wide-angle, telephoto, and close-up lenses can be fitted easily to the twin-lens camera, but formatting the photograph is more difficult since the image is focused through one lens and the film is exposed through the other.

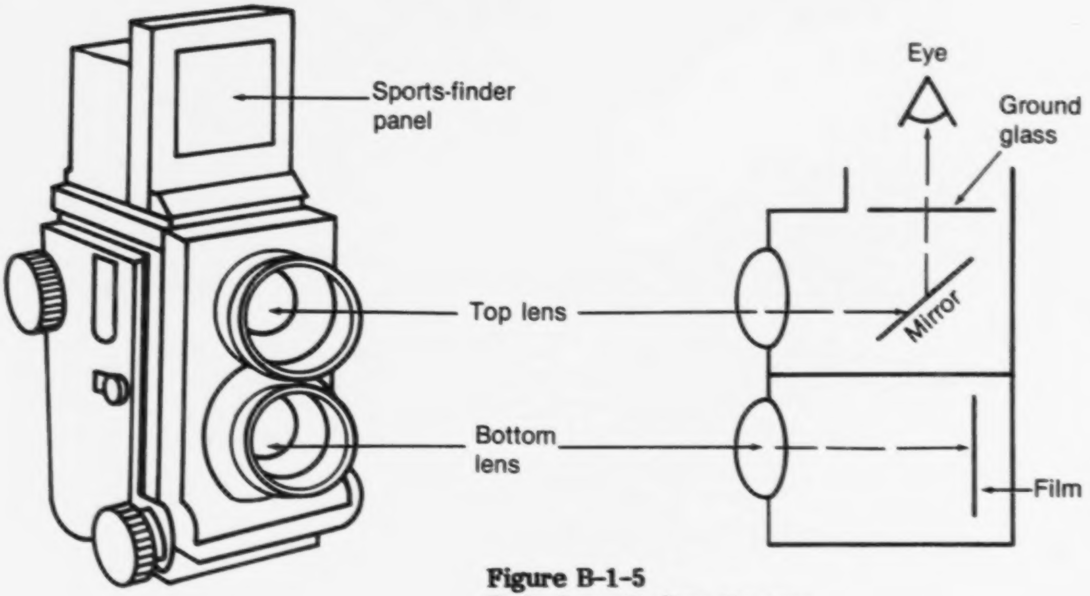

Figure B-1-5
Twin-Lens Reflex Camera

Descriptions of each camera are listed below:

Single-Lens Reflex Camera (using 35mm film)	**Twin-Lens Reflex Camera (using 120 roll film)**
has one lens; the scene is viewed through the same lens that takes the picture (the photographer can see what the lens sees).	has two lenses; the scene is viewed through the top lens, and the picture is taken through the bottom lens (the photographer cannot see exactly what the lens sees).

(chart continued)

Single-Lens Reflex Camera (using 35mm film)	**Twin-Lens Reflex Camera (using 120 roll film)**
can produce negatives of accident or crime scenes under most conditions. Enlargements of these negatives to 8 x 10 inches for courtroom exhibits are of excellent quality.	produces a 2 1/4 x 2 1/4-inch square negative, which can be enlarged to twice the size of the 35mm, single-lens negative enlargement.
is usually equipped with a focal-plane shutter.	is usually equipped with a between-the-lens shutter.
can easily be fitted with special lenses for most specialized forensic work, such as telephoto surveillance, macrophotography, and microphotography.	can easily be fitted with close-up lenses for evidence and fingerprint work.
has ground-glass focusing.	has ground-glass focusing.
has a light-metering capability.	has a light-metering capability.

NOTE: Shutters and light meters will be discussed later in this section.

Because each camera has different features, the specific procedures for use are different from camera to camera. You should follow the manufacturer's technical manual for the camera you are using. Most cameras, however, also have common features, such as lens, diaphragm, and shutter. Understanding the purposes and uses of these features and the principles of focusing and exposure will help you follow the camera manufacturer's technical manual.

The Lens

A lens consists of one or more pieces of optical glass (or similar material) designed to collect and focus rays of light to form a sharp image on film, paper, or a projection screen. The lens uses the transmission principle of gathering light rays. That is, on the camera the lens collects rays of light reflected from an object and sends them onto the film, so that the rays come to a sharp focus on the film. The amount of light passing through the lens at a given moment is controlled by the size of the lens opening (the lens opening is sometimes called the "aperture").

Focal Length

The focal length is the distance from the optical center of the lens to the film plane when the camera is focused on infinity (see Figure B-1-6). Focal length affects the size of the image produced. The longer the focal length of a lens, the larger the size of the image.

A telephoto lens has a long focal length to produce a large image of a subject that is a long distance from the camera.

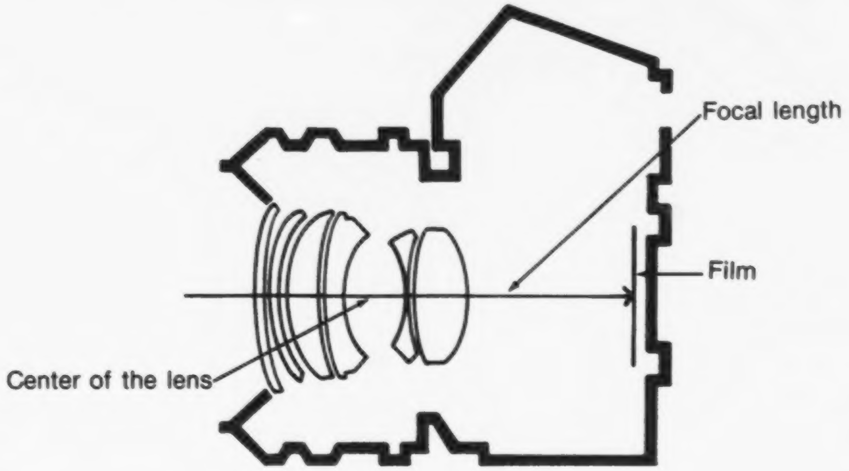

Figure B-1-6
Focal Length (Setting Is on Infinity)

Lens Speed

"Lens speed" refers to the light-gathering capability of the lens. The lens system concentrates incoming rays of light onto the film. The lens gathers enough light to expose the film in only a fraction of a second. If there were no lens, the exposure of the film might have to last as long as several minutes.

Although the quality of the lens is important, it is primarily the size of the lens opening (in relation to its focal length) that determines the lens's light-gathering capacity, that is, its "speed." With an adjustable camera, you can change the speed of the lens by increasing or decreasing the size of the lens opening. A "fast" lens has a larger opening and thus transmits more light than a "slow" lens.

Diaphragm

The diaphragm is the device that controls the size of the lens opening (aperture). It may be either fixed or adjustable. An adjustable diaphragm is sometimes called an "iris diaphragm" because its structure is similar to that of the eye's iris. It consists of a circle of overlapping metal leaves. When you turn the aperture ring on the camera, the iris diaphragm expands to make the aperture larger or contracts to make it smaller.

F-Number and F-Stop

Engraved on the aperture ring of the camera is a range of numbers, called the "f-numbers."

NOTE: An f-number indicates the ratio (at a particular setting) of the focal length to the diameter of the lens opening. More specifically, each f-number represents the focal length divided by the diameter of the lens opening. For example, if the focal length of your camera is 66mm and the diameter of the lens opening at a particular setting is 3mm, then the f-number will be f/22.

The aperture setting at a given position, or number, is called the "f-stop." You set the f-stop at a certain f-number to adjust the size of the lens opening for correct exposure. That is, by turning the aperture ring to a particular f-number, you adjust the iris diaphragm so that it increases or decreases the size of the lens opening.

A common range of f-stops on 35mm cameras is from f/1.8 to f/22. As shown in Figure B-1-7, the larger the f-number selected, the smaller the lens opening will be (and the "slower" the lens). Conversely, the smaller the f-number, the larger the lens opening (and the "faster" the lens).

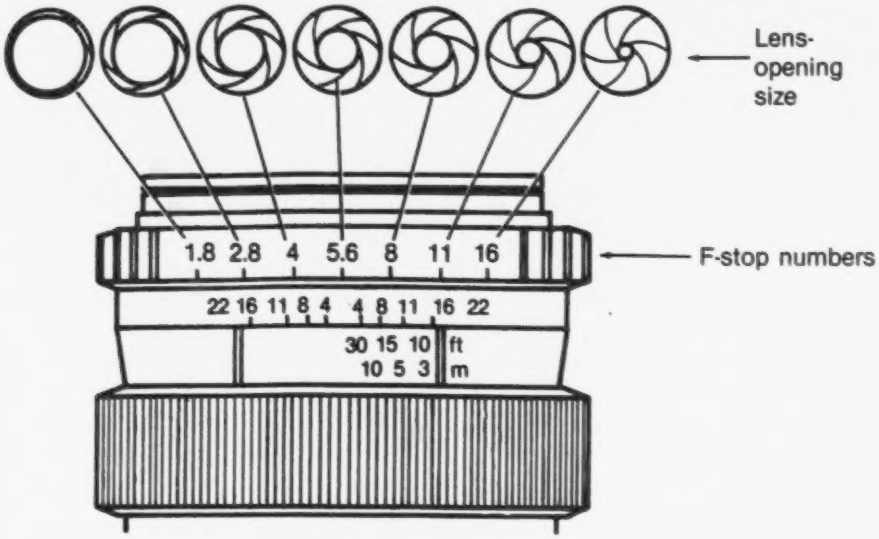

Figure B-1-7
Range of Lens-Opening Sizes and F-Numbers

Each f-stop passes twice as much light as the next larger f-stop. For example, f/8 passes twice as much light as f/11; f/5.6 twice as much as f/8; and f/2.8 twice as much as f/4. This system was devised to provide light control for all lighting situations.

The size of the lens opening affects the exposure time required. (You will learn about "exposure time" in the discussion of shutter speed, which follows this segment.) To collect the necessary amount of light, a small aperture (or lens opening) such as f/16 requires a longer exposure time, and a larger aperture requires a shorter exposure time. That is, the larger the lens opening, the shorter the exposure time required.

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Shutter

The shutter is a device that exposes the film to light by opening and closing the aperture. The shutter controls the length of time that light is allowed to pass through the lens and reach the film.

Shutter Speed

"Shutter speed" is the amount of time the shutter stays open to let light expose the film. The shutter speed in combination with the size of the lens opening determines the amount of light that reaches the film. The relationship, then, between the size of the lens opening and the exposure time allowed by the shutter is critical to a proper light control. A faster shutter speed admits **less** light and so requires a larger lens opening (to admit **more** light). A slower shutter speed admits **more** light and so requires a smaller lens opening (to admit **less** light). A small lens opening with a slow shutter speed, then, can let in as much light as a large lens opening with a fast shutter speed.

You set the shutter speed (exposure time) by moving the camera ring that has a shutter-speed scale on it. The shutter-speed scale is computed so that each speed represented is exactly or approximately twice as fast as the one preceding it. A typical scale ranges from 1 second to 1/1000 second, as follows: 1, 1/2, 1/4, 1/8, 1/15, 1/30, 1/60, 1/125, 1/250, 1/500, 1/1000. On the standard scale of shutter speeds, however, these speeds are shown by whole numbers instead of fractions. Thus, 1 stands for 1 second, but 2 stands for 1/2 second, 250 means 1/250 second, and so on.

NOTE: The letter "B" on the shutter-speed scale stands for "bulb"; this setting is used for making long exposures, such as those for outdoor pictures at night. When set to B, the shutter stays open as long as the release button is held down.

Fast shutter speed, such as 1/1000, enables the camera to photograph objects or persons in action. For example, you cannot take a picture of a rock falling from a mountain in sharp detail at 1/60, but you can at 1/500 or 1/1000. In such a situation, the aperture would need to be larger to compensate for the reduction in light that occurs with a fast shutter speed, and so the f-stop setting would be moved to a lower number. Generally, when the shutter speed is **increased** by one number, the f-stop setting should be **decreased** by one number.

Types of Shutters

There are two basic types of shutters: between-the-lens shutters and focal-plane shutters. A between-the-lens shutter is made of blades of very thin metal that overlap and pivot near the outside edge. It is located between the lens elements on the twin-lens camera. Like the iris diaphragm, it looks somewhat like the iris in the eye. The between-the-lens shutter has a range of shutter speeds from one second to 1/500 second. It can be synchronized with an electronic flash at any shutter speed.

A focal-plane shutter is made of a curtain of thin metal or fabric in which there is a slit. This curtain is located immediately in front of the film (see Figure B-1-8). The range of shutter speeds for this kind of shutter is from one second to 1/1000 second. Usually it can be synchronized for an electronic flash at only 1/60 second.

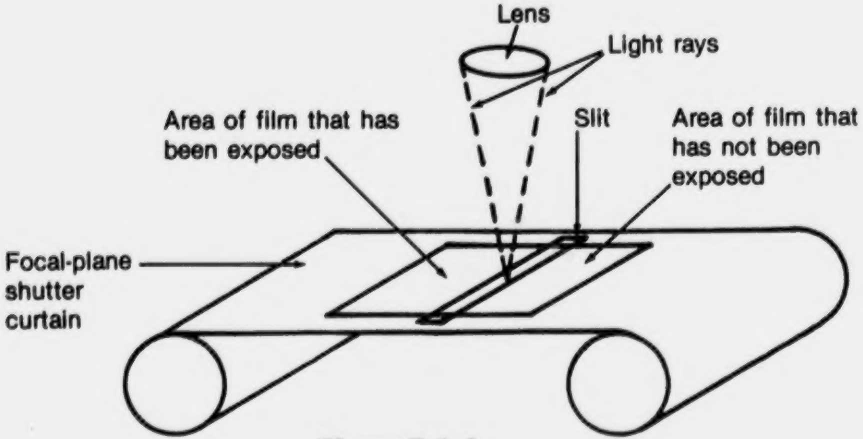
Lens
Light rays
Area of film that has been exposed
Slit
Area of film that has not been exposed
Focal-plane shutter curtain

Figure B-1-8
Focal-Plane Shutter

The focal-plane shutter is the type usually found in the 35mm, single-lens reflex camera. Since this shutter is located directly in front of the film—at the focal plane—it is possible to construct an inexpensive camera on which the photographer can change the lenses without removing the film. This arrangement provides the versatility needed for forensic work, in which it is often necessary to change from a wide-angle lens for a small-area crime scene to a normal lens for a large, open-area crime scene to a telephoto lens for surveillance work.

Film

There are various film qualities to consider, but among the most important is the "speed" of the film. In addition to the correct lens opening and shutter speed, the correct film speed is also necessary for correctly exposed photographs.

The term "film speed" actually refers to a film's sensitivity to light. All film is made of light-sensitive materials, but some kinds of film are more light sensitive than others. Film is rated, therefore, according to its sensitivity to light. The various degrees of sensitivity are indicated by a range of film speeds. The American Standards Association (ASA) or the International Standards Organization (ISO) assigns to each kind of film a rating (or speed), which is shown on the box of film or on a data sheet. The higher the rating number, the higher the film speed (that is, the more sensitive the film is). The higher the film speed is, the less light is needed to obtain correct exposure. When there is a low amount of light, you should use a highly sensitive (high-speed) film. For night surveillance photography, for example, you would probably need to use an especially sensitive high-speed film. Color film usually has lower sensitivity to light and therefore requires longer exposure than black-and-white film.

Many adjustable cameras have a film-speed indicator, which can be changed to show the correct film speed. This indicator is changed only when the speed of a new roll or cartridge of film is different from that of the previous one (see Figure B-1-9).

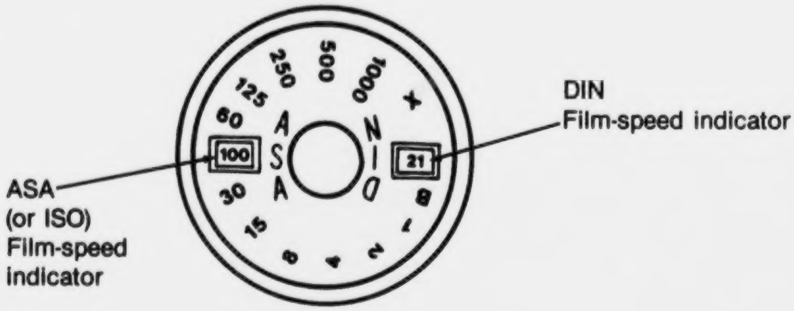

Figure B-1-9
Film-Speed Indicator

Exposure

To determine the correct exposure for a particular film and lighting condition, the photographer must balance four factors:

1. the amount of light available
2. the size of the lens opening (aperture), which affects the amount of light allowed to enter
3. the shutter speed, which controls the length of time light is allowed through the lens
4. the film speed, that is, the film's sensitivity to light

NOTE: Light is the key element in each of these factors.

As discussed earlier, the size of the aperture, or lens opening, is adjusted by the f-stop setting. The f-stops are computed so that each one indicated on the camera lets in twice (or half) as much light as the one preceding (or following) it. The shutter-speed setting determines how long light is allowed through the lens.

The speeds indicated on the camera have been computed in such a way that each one is twice as fast (or slow) as the one preceding (or following) it. Therefore, to double the shutter speed for an action shot, you would merely move the shutter-speed selection to the next higher setting (a smaller fraction). And in order to keep the same amount of light hitting the film, the aperture would have to be doubled in size. So you would move the f-stop setting to one number smaller. (The smaller f-number enlarges the aperture and lets in more light.)

If the shutter and aperture have been set for the best depth-of-field and action conditions but you find that there is not enough light, you can increase the light by using either a flash unit or floodlights. If increased lighting is undesirable, such as in surveillance photography, a film with a faster speed can be used.

NOTE: "Depth of field" will be discussed later in this section.

Light Meter

In order to determine accurately the amount of light needed to photograph an object, many photographers use a light meter. They can manually control the lens opening (by setting the f-stop) and the shutter speed according to the value shown on the meter scale.

Fortunately, most modern cameras are automatic. That is, they have a light meter (sometimes called an "electric eye") built into the camera body, so that the camera automatically measures the amount of available light and sets the shutter speed or lens opening, or both, for the correct exposure. In photographing very white or black objects, however, manual settings may be needed to get proper exposure.

Focusing

Another basic operation in photography is focusing the lens upon the subject. Focusing determines the degree of sharpness and clarity in a photograph. The exact method of focusing varies with different cameras. You should, therefore, **refer to the manufacturer's technical manual for properly focusing the camera you are using.**

NOTE: The nearer a subject is to the camera, the farther you should move the lens from the film when you are focusing.

In cameras that have an adjustable focus, there are three common methods of focusing: with a range finder, through the lens, and by means of a ground glass. For forensic work, **fixed-focus cameras** are often used. They are excellent for certain purposes in forensic and law enforcement work, since most of them include the rapid-development process for fast copy.

NOTE: The use of a camera that develops the film automatically enables an officer to place a photo in a personal history or on a fingerprint card or to send photos to investigators without the delay required for the darkroom development of film.

An extension frame can be used on a fixed-focus camera to get the correct distance for an exact focus on small items such as fingerprints.

Depth of Field

The term "depth of field" means the range or area within which objects are in sharp focus. This range may be increased or decreased by changing either the size of the lens opening (f-number) or the distance between the object in focus and the film plane or both.

When the lens opening is large, the depth of field is shallow. That is, the smaller the f-number is, the shallower the depth of field is.

The depth of field is also affected by the distance from the object in focus to the film. As you get closer to your subject, the depth of field becomes shallower. So by getting farther away from your subject, this zone of acceptable sharpness can be increased.

On most cameras, the depth-of-field scale is on the lens mounting, as shown in Figure B-1-10.

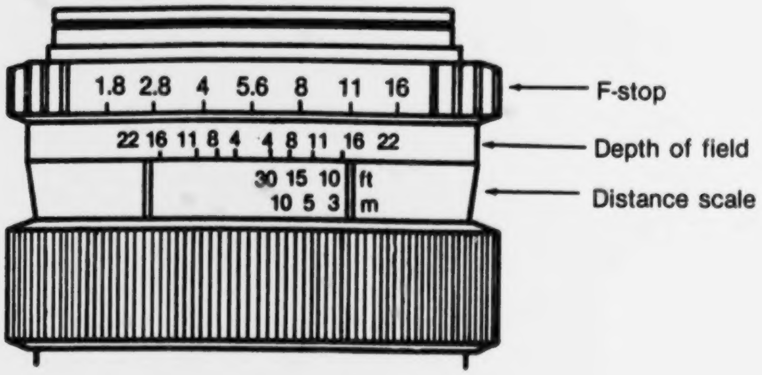
1.8 2.8 4 5.6 8 11 16
F-stop
22 16 11 8 4 4 8 11 16 22
Depth of field
30 15 10 ft
10 5 3 m
Distance scale

Figure B-1-10
Depth-of-Field Scale

Examine the scales and settings in Figure B-1-11. This figure shows a distance scale of 4 to 30 feet (1.2 to 10 meters), an f-stop scale of 1.8 to 22, and a depth-of-field scale of 4 to 22. In this figure, the camera is focused for a distance of 8 feet (2.5 meters) and the f-stop (for the aperture) is set at f/8. The depth of field is from 8 to 8 (shaded area), which indicates that all objects within about 6.8 to 10 feet (2 to 3 meters) from the camera would be in reasonably sharp focus.

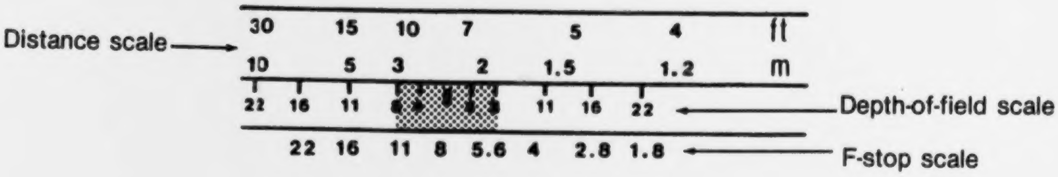
Distance scale
30 15 10 7 5 4 ft
10 5 3 2 1.5 1.2 m
22 16 11 11 16 22
Depth-of-field scale
22 16 11 8 5.6 4 2.8 1.8
F-stop scale

Figure B-1-11
Distance Scale, Depth-of-Field Scale,
and F-Stop Scale

In forensic and law enforcement photography, it is normally desirable to use as much depth of field as light conditions and film speed will allow. When subjects such as those required for personal identification require minimal depth of field, a large lens opening (f/1.8 or f/2.8) can be used to let in a lot of light. For example, when photographing a subject's face, you need a depth of field extending only from the subject's nose to the background showing a height scale. On the other hand, when photographing a motor-vehicle accident, you may want sufficient depth to show the beginning of skid marks to 150 feet and beyond to include the vehicles involved, the intersection, and the approaches; for such photography, you would need to use the smallest lens opening (f/22).

Summary

1. Basic cameras recommended for forensic work
   a. single-lens reflex camera
   b. twin-lens reflex camera

2. Lens
   a. The lens collects light rays and focuses them on the film.
   b. "Focal length" is the distance from the optical center of the lens to the film plane when the camera is focused on infinity.
   c. "Lens speed" refers to the camera's light-gathering capacity; it is determined largely by the size of the aperture and affects how much light is allowed through the lens.

3. Diaphragm and f-numbers
   a. The diaphragm changes the size of the lens opening.
   b. The f-number indicates the ratio (at a particular setting) of the focal length to the diameter of the lens opening.
      - Each f-number represents the focal length divided by the diameter of the lens opening, as:

$$\frac{\text{focal length}}{\text{aperture diameter}}$$

      - Setting an f-stop at a particular f-number adjusts the diaphragm, which controls the size of the lens opening.

   c. A common range of f-numbers (f-stops):

      f/1.8, f/2.8, f/4, f/5.6, f/8, f/11, f/16, f/22

      - An f-stop of f/1.8 indicates the largest opening. With each stop the lens becomes half again as small, so that a setting of f/22 indicates the smallest opening. (The smaller the f-number is, the larger the opening is.)

4. Shutter

   a. The shutter opens and closes the aperture, exposing the film to light.
   b. It controls the length of time that light is admitted through the lens.
   c. Shutter speed affects how long (therefore, how much) light is allowed through the lens.
   d. There are two basic types of shutters:
      (1) between-the-lens shutter
         (a) consists of overlapping, thin metal blades situated between lens elements on the twin-lens reflex camera
         (b) can be synchronized for flash at any speed
         (c) is opened by shutter release for any period ranging from one second to 1/500 second
      (2) focal-plane shutter
         (a) consists of a blind located immediately in front of the film
         (b) can be synchronized for flash only at 1/60 second
         (c) has a speed range of from one second to 1/1000 second
   e. The speed scale is arranged so that each speed is twice as fast as the one preceding it.

5. Film

   a. Different kinds of film have different sensitivities to light.
   b. Light sensitivity determines film speed; a highly sensitive film is a high-speed film.
   c. ASA (or ISO) ratings indicate the light sensitivity (speed) of a film.
   d. The higher the ASA (or ISO) rating is, the "faster" (more light-sensitive) the film is.
   e. The faster (more sensitive) the film is, the less exposure it needs.

6. Exposure

   a. Four factors affect correct exposure:
      (1) the amount of light available
      (2) the size of the lens opening (affecting the amount of light allowed through the lens)
      (3) the shutter speed (controlling the length of time light is allowed through the lens)
      (4) the film speed (the sensitivity of the film to light)
   b. Some cameras have automatic light-metering systems to set the exposure correctly.

7. Focusing

   a. Focusing determines the degree of sharpness and clarity in a photograph.
   b. A fixed-focus camera is used for single-purpose work.
   c. Ground-glass focusing is used for both the single-lens and the twin-lens reflex cameras; it permits a very sharp focus.

8. Depth of field

   a. The depth of field is the range within which objects are in sharp focus.
   b. The larger the lens opening, the shallower the depth of field.
   c. The closer the photographer is to the object in focus, the shallower the depth of field.

Now complete the review questions beginning on the next page.

Review Questions (VI: B-1a)

Write your answers on a separate sheet of paper.

1. Some characteristics of the twin-lens reflex camera and the single-lens reflex camera are listed below. For each lettered characteristic, write **T** if it applies to the twin-lens reflex, **S** if it applies to the single-lens reflex, and **TS** if it applies to both.

   a. The scene is viewed through the same lens that takes the picture.
   b. It has ground-glass focusing.
   c. It produces a 2 1/4 x 2 1/4-inch square negative.
   d. It can easily be fitted with close-up lenses.

2. What is the function of the camera lens?

   a. to collect and focus light rays on the film
   b. to control the length of time light is allowed to enter the camera
   c. to adjust the aperture size
   d. to synchronize the f-setting with the shutter speed

3. "Focal length" is the distance between:

   a. the object and the film, when the camera is focused on infinity.
   b. the center of the lens and the film, when the camera is focused on infinity.
   c. the center of the lens and the object.
   d. the film and the camera cap.

4. "Lens speed" refers to:

   a. the light-gathering capacity of the lens.
   b. the diameter of the lens opening in relation to the shutter speed.
   c. the quality of light passing through the lens.
   d. the speed in transmitting light from the object to the diaphragm.

5. What is the diaphragm?

   a. the focal length divided by the diameter of the lens opening
   b. a device that controls the size of the lens opening
   c. the degree of sharpness of a photograph
   d. a device that controls the length of time that light is allowed to pass through the lens and reach the film

6. When the focal length of your camera is 66mm and the diameter of the lens opening is 3mm, the f-stop will be f/22. At that setting, your lens is a:

   a. fast lens.
   b. slow lens.
   c. thick lens.
   d. average lens.

7. What does the diameter of the lens opening control?

   a. the amount of light passing through the lens at a given moment
   b. the direction of light passing through the lens
   c. the focal length at a given moment
   d. the length of time that light is allowed to pass through the lens and reach the film

8. Which of the following indicates the smallest lens opening?

   a. f/1.8
   b. f/5.6
   c. f/8
   d. f/22

9. Which of the following lens openings requires the longest exposure time?

   a. f/1.8
   b. f/5.6
   c. f/11
   d. f/22

10. If you want to take a picture of a vehicle-accident scene, at which lens opening should you set your camera?

    a. f/1.8
    b. f/5.6
    c. f/11
    d. f/22

11. Which **two** of the following control the amount of light that reaches the film?

    a. the size of the lens opening
    b. the focal length
    c. the depth of field
    d. the shutter speed

12. Which of the following determines the sharpness and clarity of the photograph?

    a. the exposure
    b. the shutter speed
    c. focusing
    d. the lens opening

13. Suppose you have two rolls of film with different ASA ratings, one 64 and the other 400. Which film should you use when there is **not** much light around you?

    a. the ASA 64 film
    b. the ASA 400 film
    c. either the ASA 64 film or the ASA 400 film
    d. neither film

14. For night surveillance photography, you should use:

    a. any speed film.
    b. especially sensitive high-speed film.
    c. film with film speed of ASA 200.
    d. color film.

15. List the **four** factors to balance when determining correct exposure.

16. For the exact method of focusing, what should you refer to?

    a. the manufacturer's technical manual for the camera you are using
    b. the list of ASA ratings on the film box
    c. the light meter
    d. the data sheet that comes with the film

17. Which **three** of the following are focusing systems you can find in modern cameras?

    a. a fixed-focus system
    b. a ground-glass focusing system
    c. a light-metering system
    d. a range-finder system

18. What is "depth of field?"

    a. the range within which objects are in sharp focus
    b. the sharpness and clarity of the photograph
    c. a device that controls the length of time that light is allowed to reach the film
    d. a device that adjusts the size of the lens opening

19. Which of the following lens openings has the smallest depth of field?

    a. f/1.8
    b. f/5.6
    c. f/11
    d. f/22

Check your answers with the correct ones provided in the answer key.

You have just studied the major parts of a camera and the four basic settings on most adjustable cameras: lens opening (f-number), shutter speed, film speed (ASA or ISO rating), and focus. Now you're ready to study the basic procedures for taking pictures with an adjustable camera. The following steps provide a **general** guideline only. You should consult with the manufacturer's manual for the specific procedure recommended for the camera you are using.

STEP 1: Set the film speed, using the following method.

- Consult the ASA rating on the film cartridge or film package.
- Turn the film-speed dial until the correct ASA number appears in the film-speed indicator window (see Figure B-1-12).

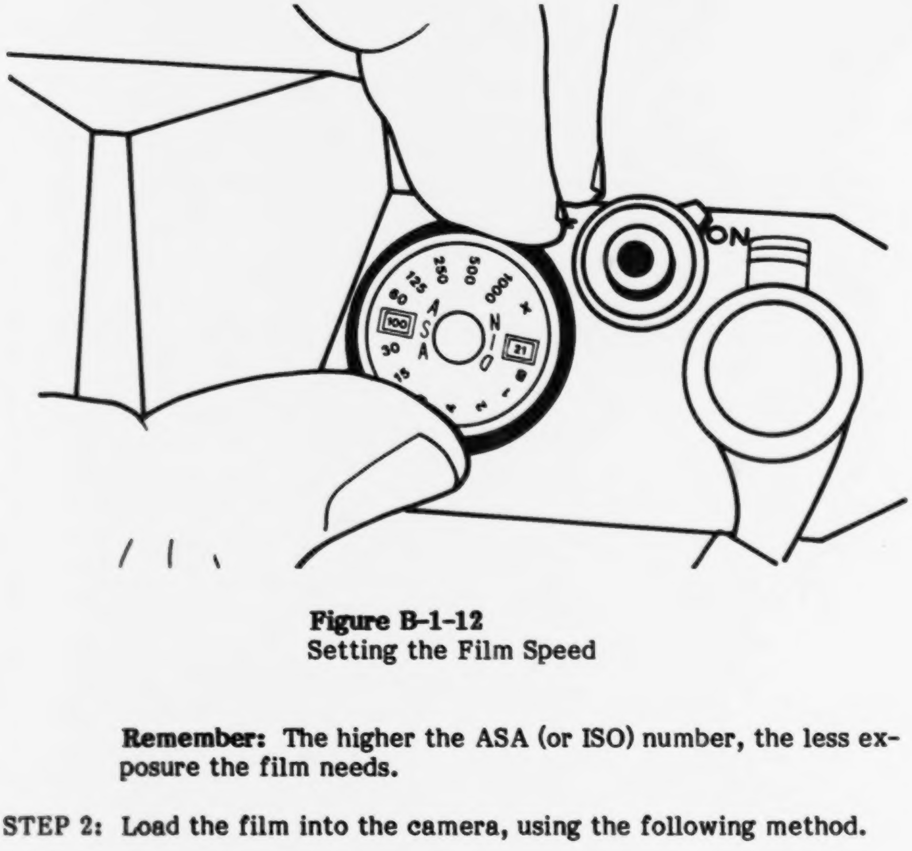

Figure B-1-12
Setting the Film Speed

Remember: The higher the ASA (or ISO) number, the less exposure the film needs.

STEP 2: Load the film into the camera, using the following method.

- Open the back cover of the camera, according to instructions in the technical manual.

- Place the film cartridge in the film-cartridge chamber (see Figure B-1-13), so that the small piece of film coming from the cartridge (the film leader) points toward the other side of the camera.

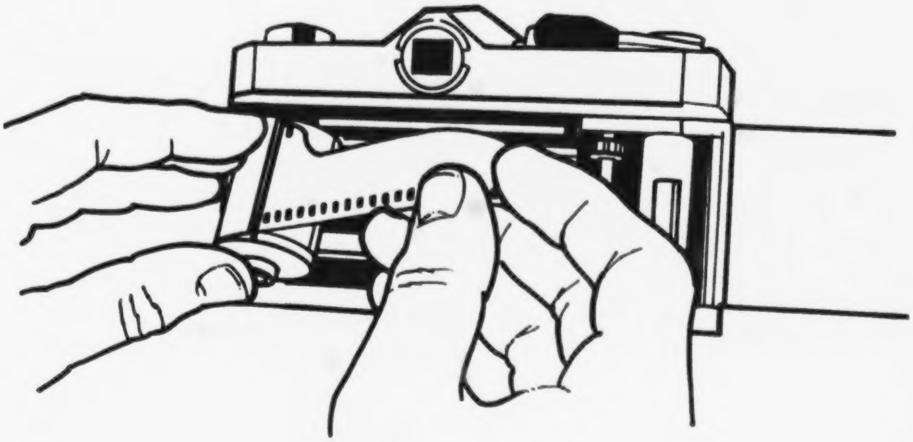

Figure B-1-13
Loading the Film

- Draw the film leader across the film gate, and insert the tip into any slit in the film take-up spool (see Figure B-1-14).

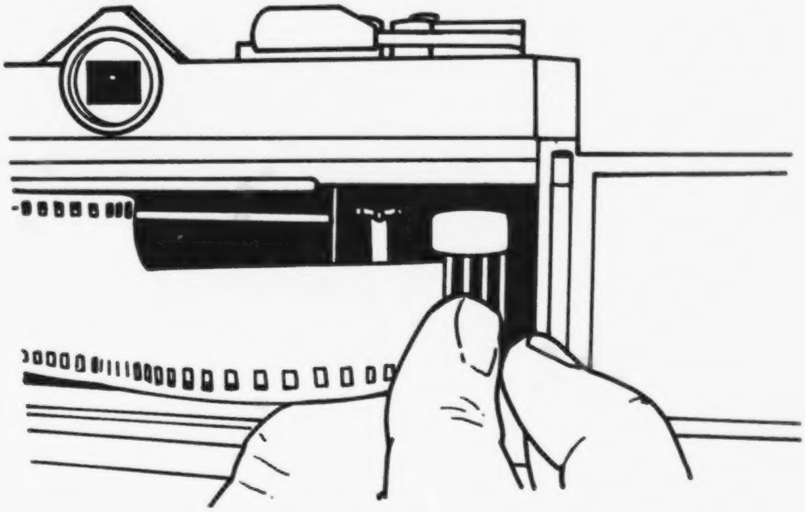

Figure B-1-14
Inserting the Tip into a Slit

- Turn the film-transport lever to wind the film onto the take-up spool.

- Close the back cover of the camera.

- Turn the film-rewind crank to take up the slack of the film in the cartridge.

CAUTION: When loading the film, avoid sunlight; load it in the shade.

STEP 3: Determine the object to be photographed.

STEP 4: Select the shutter speed. (For most outdoor shots, 1/125 is recommended.)

Remember: For action photographs, you need a high shutter speed.

NOTE: The use of a slower shutter speed calls for a smaller aperture, and that results in greater depth of field.

STEP 5: Set the f-stop.

Remember:

1. The larger the f-number, the smaller the lens opening.
2. When you change from one f-number to the next smaller one (f/11 to f/8, for example), you expose the film to twice as much light.

NOTE: If your camera has an automatic light-metering system, make sure that the aperture ring is set for the automatic system.

STEP 6: Adjust the focus for the proper distance between the camera and the subject. To focus, you turn the focusing ring of the lens until the image within the center of the viewfinder is sharpest and clearest.

STEP 7: Compose the picture in the viewfinder.

- Make sure that you see everything you want to include in your picture.

- Make sure your picture is level.

- Keep your fingers away from the lens.

STEP 8: Hold the camera steady (see Figure B-1-15).

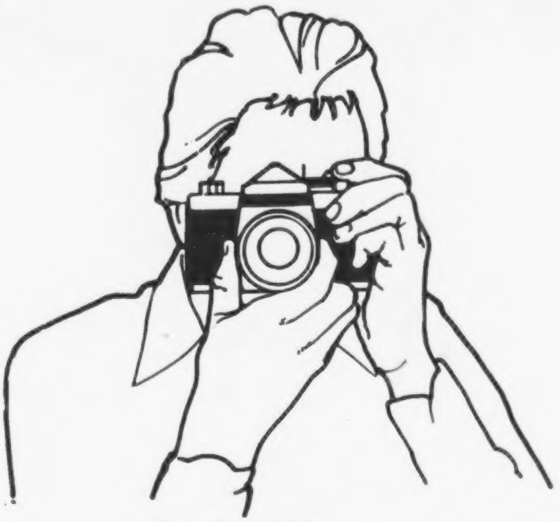

Figure B-1-15
Holding the Camera Steady

STEP 9: Depress the shutter-release button firmly but gently. Do not jiggle your camera. Do not punch the button.

STEP 10: Advance the film to the next exposure.

STEP 11: After you have taken all the pictures on the roll, you should unload the film, using the following method.

- Depress the film-rewind button, usually at the bottom of the camera (see Figure B-1-16).

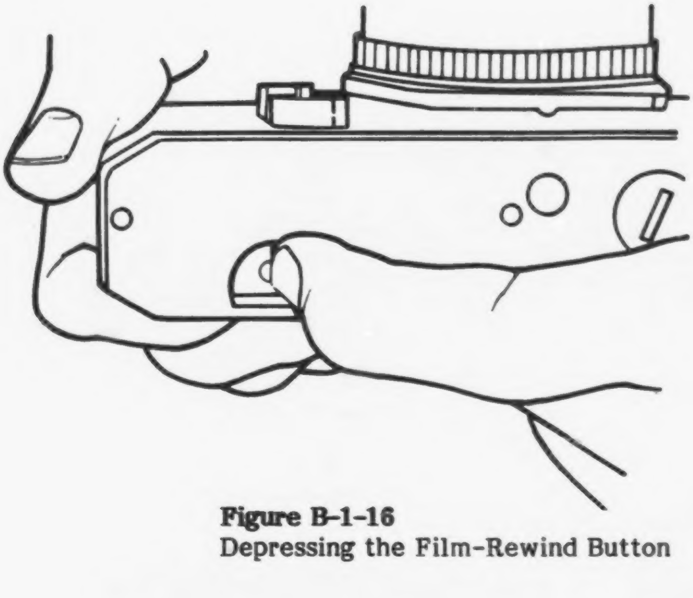

Figure B-1-16
Depressing the Film-Rewind Button

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- Raise the film-rewind crank and turn it in the direction inscribed on it. Turn it in one continuous motion. Do **not** turn too fast (see Figure B-1-17).

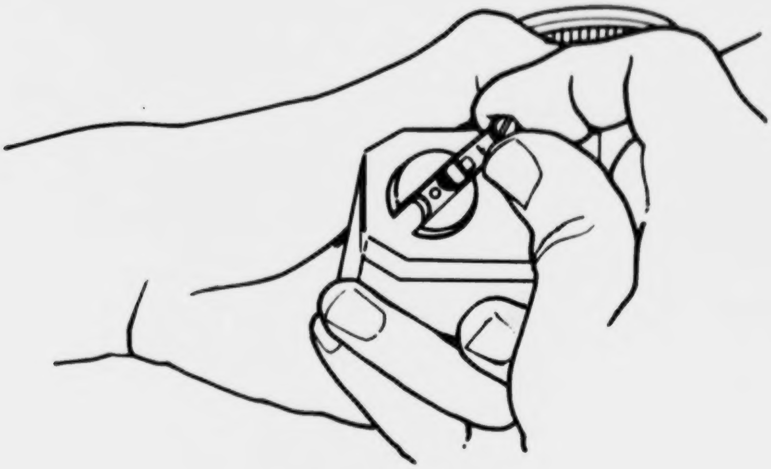

Figure B-1-17
Raising the Film-Rewind Crank

- When tension on the film-rewind crank eases, open the back cover of the camera and unload the film cartridge.

NOTE: For the care and storage of your camera, you should follow the instructions in the owner's manual prepared by your camera manufacturer.

Summary

In order to take pictures, you should do the following:

- Set the film speed.
- Load the film into the camera.
- Identify the object to be photographed.
- Select the shutter speed.
- Set the f-stop.
- Adjust the focus.
- Compose the picture in the viewfinder.
- Hold the camera steady.

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- Press the shutter-release button firmly but gently.
- Advance the film to the next exposure.

Now complete the review questions on the next page.

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Review Questions (VI: B-1b)

Write your answers on a separate sheet of paper.

1. When loading the film in the camera, you should load it:

   a. in the shade.
   b. in total darkness.
   c. under the sunlight.
   d. anyplace.

2. Two students are loading the film. They are discussing what to do after closing the back cover of the camera. Student A says to set the film speed. Student B says to turn the film-rewind crank. Who is right?

   a. Student A
   b. Student B
   c. both Student A and Student B
   d. neither Student A nor Student B

3. What shutter speed is recommended for most outdoor shots?

   a. 1/75
   b. 1/100
   c. 1/125
   d. 1/1500

4. To unload the film from the camera, you should do all of the following **except:**

   a. depress the film-rewind button.
   b. depress the shutter-release button.
   c. raise and turn the film-rewind crank.
   d. open the back cover of the camera and unload the film.

5. List **ten** basic steps for taking pictures with an adjustable camera.

Check your answers with the correct ones provided in the answer key. Then do the practical exercise on the following page.

Practical Exercise (VI: B-1b)

1. Obtain a camera and a cartridge of film from your instructor.
2. Select objects (things, persons, and scenes) for picture taking.
3. Take pictures of the objects you have selected.
4. Discuss your work with your instructor.

If you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: B-1).

Block VI: Criminalistics

Unit B: Basic Forensic Photography

Section 2: Basic Photo-Laboratory Procedures

Ask your instructor for the pretest for this section (VI: B-2). After you complete the pretest, your instructor will let you know whether to study this section or take the posttest.

Introduction

The chemical processing of film and paper is the same in forensic photography as in general photography, with a few exceptions. First, all steps must be fully documented, and the names of all persons involved in processing must be recorded. Second, there can be no alteration or modification of the negative; it must be processed as it is. And, finally, there can be no use of only part of a negative; the entire negative must be used when developing or enlarging.

In this section you will learn the basic procedures of film and paper processing, using standard chemicals and techniques.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the equipment and materials necessary for processing film, making contact prints, and making enlargements.

2. Identify the procedures and tasks for processing film, making contact prints, and making enlargements.

3. Identify the signs of poor-quality negatives and the causes of each problem.

4. State the reason why contact prints are mandatory in forensic photography.

5. State the purpose of keeping a photo record, and list the information it requires.

Performance Objectives

Given all necessary equipment and materials, produce negatives, contact prints, and enlargements. Then complete the photo records. Your performance and products will be evaluated with the use of performance checklists. Your performance and products should be rated "A" (acceptable) on all of the items on the checklists.

Processing Negatives

Tasks:

1. Assemble all necessary equipment and materials.

2. Mix the developer according to the manufacturer's instructions packaged with the developer.

3. Mix the stop bath according to the manufacturer's instructions.

4. Mix the fixer according to the manufacturer's instructions.

5. In total darkness, load the film into the developing tank.

6. Determine the developing time and set the timer accordingly.

7. Process the film with the developer, stop-bath, and fixer solutions.

8. Wash the film under gently running water for 30 to 45 minutes.
9. Dry the film.
10. Examine the negatives for quality, and identify the possible causes for any signs of poor quality.
11. Complete the photo-negative record.
12. Perform all these tasks in an appropriate amount of time.

Products:

Negative is free of

- streaks
- regular spots along edge
- fogging or blackness along edge
- spotty, fingermark stains.

Negative has

- sharp, normal contrast
- clear images.

Making Contact Prints

Tasks:

1. Assemble the equipment and materials.
2. Prepare the chemicals (developer, stop bath, and fixer) according to the manufacturer's instructions.
3. Arrange four trays.
4. Cut the negative film into strips.
5. Place the photographic paper and the strips of negative film in the printing frame with their **emulsion** sides facing each other.
6. Expose the strips of negative film and the paper to the enlarger light for eight seconds.
7. Process the photographic paper with the developer, the stop bath, and the fixer.
8. Determine the exposure time.
9. Discard the test print.

---

emulsion: a thin coating of light-sensitive material, usually silver halide in gelatin.

10. Process the contact prints again with the exposure time determined at Step 8.
11. Wash the prints.
12. Dry the prints.
13. Perform the tasks in an appropriate amount of time.

Products:

Contact prints have

- sharp, normal contrast
- clear images.

Developing Enlargements

Tasks:

1. Assemble the equipment and materials.
2. Prepare the chemicals (developer, stop bath, and fixer) by following the manufacturer's instructions.
3. Place the negative in the carrier with the emulsion side down, and then place the carrier into the enlarger.
4. Focus the negative and turn off the enlarger light.
5. Place enlarging paper with the projection print scale in the printing frame, and turn on the enlarger light.
6. Process the enlarging paper with the developer, stop bath, and fixer.
7. Determine the exposure time and discard the test enlargement.
8. Reset the timer for the new exposure time, and repeat the process for enlargement.
9. Examine the enlarged print, and repeat the process as necessary.
10. Wash the enlarged print.
11. Dry the enlarged print.
12. Complete the photo-enlargement record.
13. Complete the tasks in an appropriate amount of time.

Products:

Enlarged prints have

- sharp, normal contrast
- exposure to acceptable degree of light
- sharp focus
- acceptable clarity of image.

Developing Negatives

Film and the Negative

Film is made by coating a clear plastic sheet or strip with a gelatin that contains light-sensitive crystals. Film has other layers, but its two main layers are shown in Figure B-2-1.

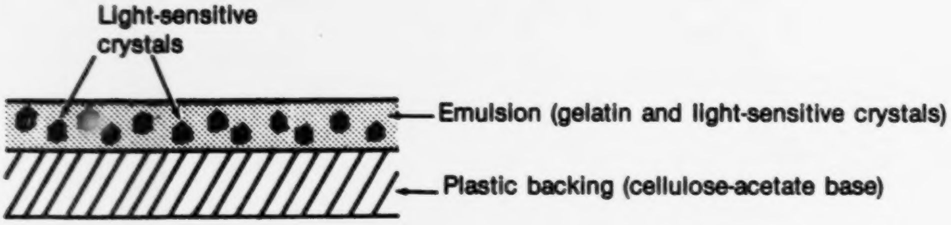
Light-sensitive crystals
Emulsion (gelatin and light-sensitive crystals)
Plastic backing (cellulose-acetate base)

Figure B-2-1
Layers of Film

When the light that enters the camera strikes the film, it causes the light-sensitive crystals to react. In black-and-white film, these crystals are a silver halide. The more crystals that are exposed to the light entering the camera, the more reaction there will be. This reaction is not visible to the eye and must be developed. A developing chemical is put on the film, and it is this chemical which causes the crystals that have reacted to the light to turn dark. The more crystals in an area that react to the light, the darker that area will be. Since the light parts of the scene photographed will be dark on the film and dark areas of the scene will be light on the film, it is called a "negative."

The procedure for developing black-and-white negatives is simple and does not require expensive equipment. You should, however, follow the proper procedures in preparing the equipment and materials, mixing photo chemicals, processing the film, examining the quality of the processed film, and completing the photo record.

Preparing for Film Processing

Before you prepare the equipment and materials for film development, you should:

- have used black-and-white film
- have exposed the film correctly
- have focused and set the shutter speed and aperture (f-number) correctly
- have set the film speed correctly (for example, TRI-X Pan film has an ASA rating of 400)
- be able to unload the film from the camera.

Then you should be ready to assemble the necessary materials and equipment. (The equipment is illustrated in Figure B-2-2.)

STEP 1: Assemble the materials.

- black-and-white film
- film developer
- stop bath
- fixer

STEP 2: Assemble the tools and equipment.

- a film-developing tank
- four big jars (bigger than one-gallon jars)
- a darkroom thermometer
- a darkroom timer
- a darkroom graduate (marked in ounces) or kitchen measuring cup
- film clips

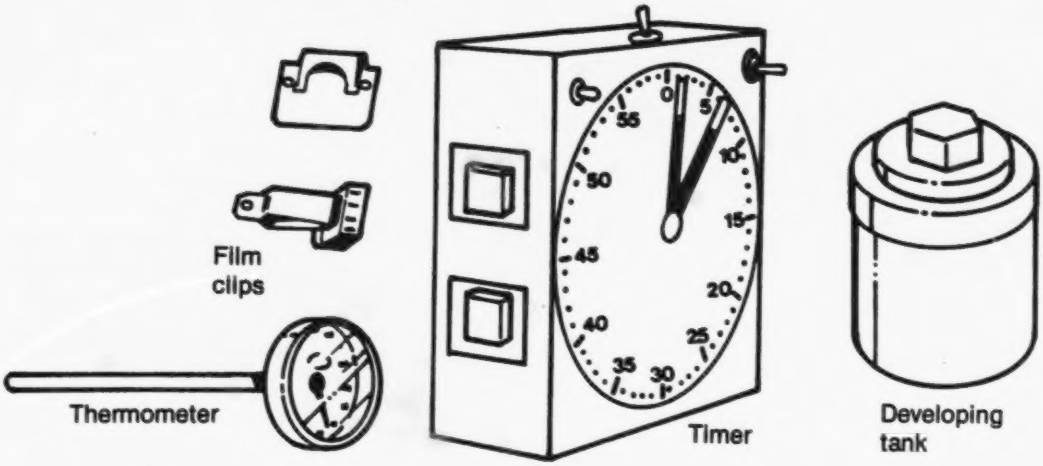

Figure B-2-2
Equipment Needed for Film Processing

NOTE: There is a variety of developing tanks on the market. Each has a removable spool (or reel) made of spiral wire or a spiral-grooved plastic spool. Most can be set for the film width you are using. When you **remove the film from the camera and put it in the spool,** you must do so **in total darkness** and then put the cap on the tank tightly. Practice loading the reel of the developing tank with an old roll of film in light until you become proficient **before** you attempt to do it in total darkness (see Figure B-2-3). Then use the practice roll in the dark.

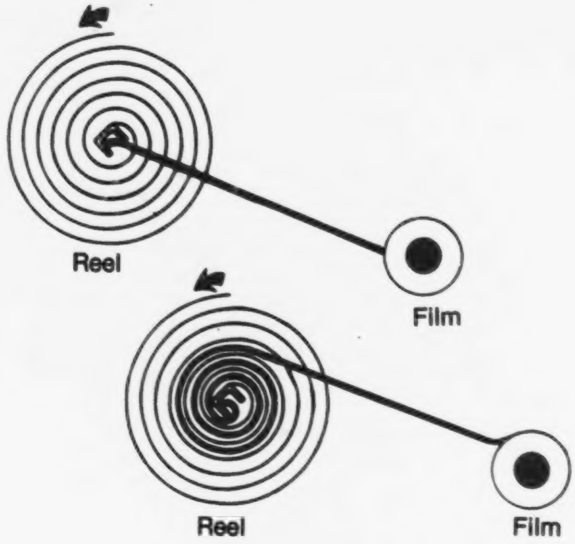

Figure B-2-3
Loading the Film onto the Reel of the Developing Tank

Mixing Photo Chemicals

After you have assembled all equipment and materials, you should mix the photo chemicals with water at the proper temperature. Mix the developer, stop bath, and fixer in accordance with the instructions packaged with the chemicals. The following is a general procedure for mixing the chemicals.

STEP 1: Half fill a big jar or pitcher with warm water (125°). Check the temperature of the water with your thermometer.

STEP 2: In a large mixing bowl, mix the film developer with warm water, following the instructions packaged with the developer.

CAUTION: Do not use **paper** developer in place of **film** developer.

- Pour the required amount of developer solution into a developer jar.
- Stir it until the developer is completely dissolved.

NOTE: 1. The **storage life** of the solution is six months in a full, stoppered bottled.

2. The solution must be stored in a dark-colored bottle (preferably brown).

3. The useful life of this solution is twenty-four hours in an undiluted tray and one month in a tank. It is recommended that the solution be diluted with water (1:1) just before use and that it be discarded after use.

4. The chemical components of the developer are p-methylaminophenol sulfate and hydroquinone.

5. Function of the developer: The developer acts on the exposed silver-halide grains in the film to separate the silver from the silver-halide compound and to deposit the silver in the emulsion as tiny, irregular grains of metallic silver. As a result, the negative image on the film becomes visible. The density of the black grains determines the density of the negative.

STEP 3: In a large mixing bowl, mix the stop bath with water according to the instructions packaged with it (usually 1/2 ounce of the stop bath with one quart of water).

- Pour the stop-bath solution into a jar.

STEP 4: In a large mixing bowl, mix the fixer with water according to the instructions packaged with it (usually one package of fixer to a gallon of water).

- Pour the fixer solution into another jar.

NOTE: 1. Fixer solution can be used for both film and paper.

2. The storage life of this fixer solution is one week in a tray and two months in a stoppered bottle.

3. Chemical components of the fixer are hypo (sodium thiosulfate) and acetic acid.

4. Function of the fixer: The chemicals dissolve the undeveloped silver halides and preserve and harden the emulsion of the film. As a result, the images stay on the film.

Processing the Film

After preparing solutions of photo chemicals, you should process the film by using the developer solution, the stop-bath solution, and then the fixer. The developer makes the negative image on the film visible. The acid stop bath stops the action of the developer. And the fixer preserves the negative image on the film. The following is a general procedure for processing the film.

STEP 1: In **total darkness,** remove the film from the camera and load it into the spool of the developing tank (turn back to Figure B-2-3).

STEP 2: Put the cap on the tank tightly. Now you can turn on the room lights.

STEP 3: Determine the developing time and set the timer accordingly. Different kinds of film have different sensitivities, not only to light but to developing chemicals. Temperature also dramatically affects the sensitivity of the film to developing chemicals. The chart in Figure B-2-4 lists the developing times for four common kinds of film in four different developers at five different temperatures.

- Measure the temperature of your developer solution. (You adjusted it to 68° when you mixed it, but it may have changed.)
- Locate your film type, the developer type, and the temperature in the chart in Figure B-2-4 or in the time-temperature chart on the film data sheet. For example: The recommended temperature of the developer D-76 for TRI-X Pan film is 68°. The chart indicates the developing time for diluted developer to be eleven minutes. Set your timer for eleven minutes.

Developing Times (in Minutes)—Small Tank

KODAK Packaged Developer	65F	**68F**	70F	72F	75F
Panatomic-X Film					
D-76	8	7	6.5	6	5
D-76 (1:1)	11	9	8	7	6
Microdol-X	11	9	8	7	6
Microdol-X (1:3)	—	—	13	12	11
Verichrome Pan Film					
D-76	8	7	6.5	6	5
D-76 (1:1)	11	9	8	7	6
Microdol-X	11	9	8	7	6
Microdol-X (1:3)	—	—	12	11	10

(chart continued)

Developing Times (in Minutes)—Small Tank* (continued)

KODAK Packaged Developer	65F	**68F**	70F	72F	75F
Plus-X Pan Film					
D-76	6	**5.5**	5	4.5	
D-76 (1:1)	10	**8**	7	6	5
Microdol-X	10	**8**	7	6	5
Microdol-X (1:3)	—	**—**	12	11	10
TRI-X Pan Film					
D-76	8	**7**	6	5	
D-76 (1:1)	13	**11**	10	9	8
Microdol-X	13	**11**	10	9	8
Microdol-X (1:3)	—	**—**	17	16	15
DK-50 (1:1)	5.5	**5**	—	4.75	4.5

* Agitate at thirty-second intervals throughout development. Primary recommendations are in bold type. For greater sharpness, see developer instructions.

Figure B-2-4
Example of a Time-Temperature Chart

From Basic Developing, Printing, and Enlarging. Kodak Publication No. AJ-2. Rochester, N. Y.: Eastman Kodak Company, Consumer Markets Division. Used with permission.

NOTE: D-76 (1:1) indicates developer D-76 diluted with an equal amount of water.

STEP 4: Pour the developer into the tank (see Figure B-2-5).

- Start the timer when you start pouring the developer.
- Tap the tank against a hard surface to remove any air bubbles.

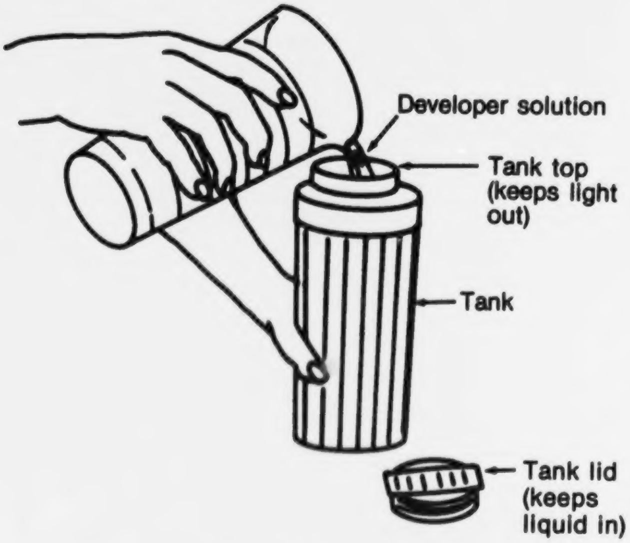
Developer solution
Tank top (keeps light out)
Tank
Tank lid (keeps liquid in)

Figure B-2-5
Pouring the Developer into the Tank

- Invert (turn upside down), then turn rightside up, or rotate (turn slowly in circular motion) the spool of the tank about once every thirty seconds to agitate the film (see Figure B-2-6). Agitation keeps the developer in gentle motion during processing and helps to ensure even and speedy development and to prevent spotting or staining.
- At the end of the developing time, pour the developer solution into a clean, empty jar.

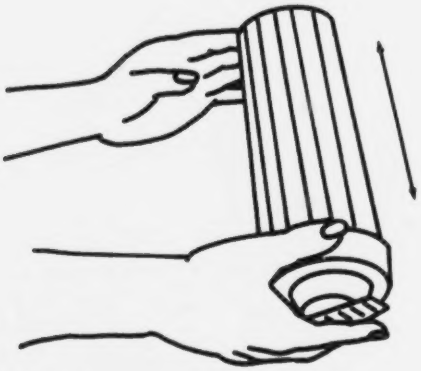

Figure B-2-6
Agitating the Tank

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STEP 5: Pour the stop-bath solution into the tank as soon as the tank is emptied of the developer (see Figure B-2-7).

- Agitate (shake) the negative film gently for about thirty seconds.

- Pour the stop-bath solution **back** into the correct stop-bath jar.

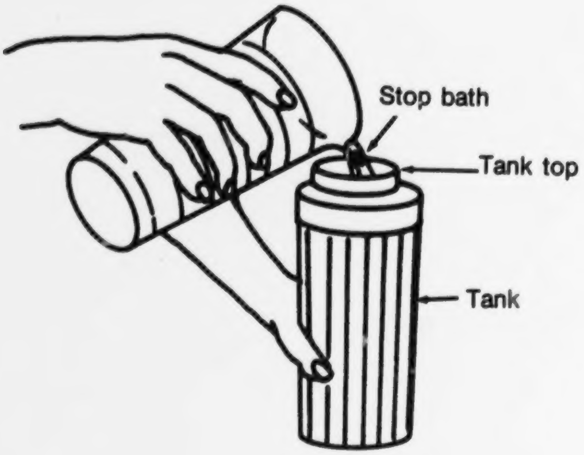

Figure B-2-7
Pouring the Stop Bath into the Tank

STEP 6: Pour the fixer into the tank as soon as the tank is emptied of stop bath.

- Agitate the negative film gently to keep bubbles from remaining in one place on the film surface. (Fixing time is three or four minutes with fixer solution.)

- Pour the fixer **back** into the correct fixer jar.

STEP 7: Wash the film to remove the fixer and undeveloped silver, using the following method.

- Remove the tank cover.

- Place the tank (with film in it) under gently running water, and let the film wash for thirty to forty-five minutes.

NOTE: Later on you can shorten the washing time by using a hypo-clearing agent.

STEP 8: Dry the film, using the following method.

- Remove the film from the spool **carefully.** The emulsion is easily scratched at this stage.
- Remove water droplets with a very soft sponge made of viscose.
- Hang up the film with film clips in a warm, dry, dust-free environment or in a drying cabinet (see Figure B-2-8).

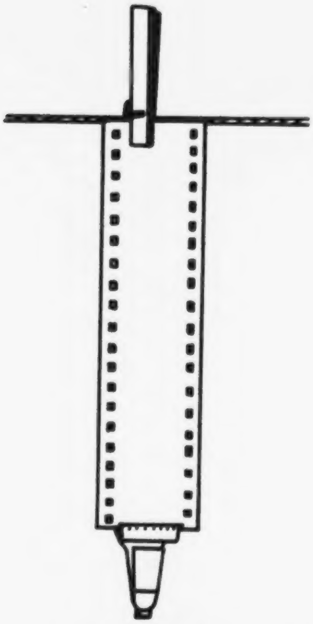

Figure B-2-8
Hanging Up the Film to Dry

CAUTION: Handle negatives by their sides or at the extreme edges, for they mar or scratch very easily.

NOTE: After you have a little experience, it is recommended that you dip your film in a photo-flo solution. This solution helps the drops run off so that the film won't spot.

Examining Film for Quality

After developing the film, you should examine its quality. Since accurate film diagnosis takes some experience, you may need your instructor's help at first. Here are some signs of poor quality and the probable causes of each:

Signs	**Probable Causes**
streaks	uneven development, resulting from lack of agitation during development
regular spots along the edge	incorrectly seated spool in the developing tank
fogging or blackness along the edges	film exposed to the light when camera was loaded or unloaded, or a poorly closed cap on the developing tank
thin, poor contrast in negative	film underexposed to light when the picture was taken, development time too short, or developer too cold
dense, black negatives	film overexposed when picture was taken, or developer too warm
gray, poor contrast	lack of total darkness when the film was put into the tank
spotty, fingermark stains	film handled with unwashed hands when it was removed from the wash

Summary

In order to develop negatives, you should do the following:

- Assemble the necessary materials and equipment.
- Mix photo chemicals.
- Process the film.
- Examine the quality of negatives.

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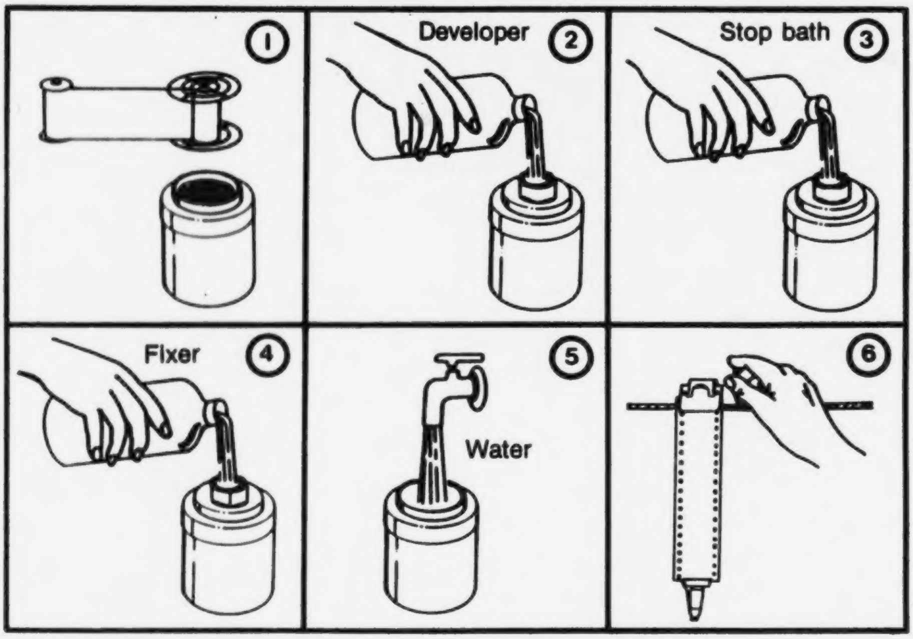
After assembling the materials and equipment and preparing the developer, stop-bath, and fixer solutions, you should process the film by:

- **loading the film into the spool of the developing tank in total darkness**
- **pouring the developer onto the film (into the tank) to make the negative image on the film visible**
- **pouring the stop bath into the tank to stop the action of the developer**
- **pouring the fixer into the tank to preserve the negative image on the film**
- **washing the film to remove the fixer and undeveloped silver**
- **drying the film.**

(Figure B-2-9 illustrates the steps in film processing.)

Finally, you should examine the quality of the negatives.



1. Load the film into the developing tank in total darkness.
2. Pour the developer into the tank to make the negative image on the film visible. (This step and those following may be done in normal room light.)
3. Pour the acid stop bath into the tank to stop the action of the developer.
4. Pour in the fixer to preserve the negative image on the film.
5. Wash the film in water to remove the fixer and undeveloped silver.
6. Hang up the film to dry.

Figure B-2-9
Processing the Film

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Now complete the review questions beginning on the next page.

Review Questions (VI: B-2a)

Write your answers on a separate sheet of paper.

1. Which **three** pairs in the following list are necessary for developing film?

   a. a developing tank and a thermometer
   b. a graduate and a mixing rod
   c. a timer and film clips
   d. an enlarger and four trays

2. Which of the following are chemical solutions used in film processing? (Choose **all** correct answers.)

   a. developer
   b. stop bath
   c. fixer
   d. silver nitrate

3. What is the function of the film developer?

   a. to discontinue developing action
   b. to make the negative image on the film visible
   c. to clean the undeveloped silver on the film
   d. to dry the negative film quickly

4. What is the function of the stop bath?

   a. to discontinue developing action
   b. to make the negative image on the film visible
   c. to clean the undeveloped silver on the film
   d. to dry the negative film quickly

5. What is the function of the fixer?

   a. to preserve the image on the film
   b. to make the negative image on the film visible
   c. to stop fogging and staining of the negative
   d. to dry the negative film quickly

6. Why should you practice loading the film in the tank spool prior to actual processing?

   a. because there will be chemicals in the spool in actual use
   b. because tanks are so poorly designed that film must be forced
   c. because actual loading must be done in total darkness
   d. because the film is easily marred when it is being loaded in the tank spool

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7. Where would you obtain quantity and temperature data for mixing photo chemicals?

   a. from the data sheet that comes with the film
   b. by working out mathematical formulas
   c. from the camera instructions
   d. from the photo-chemical manufacturer's package or container

8. From which of the following sources do you obtain developing time and temperature data for a particular film?

   a. from the data sheet that comes with the film
   b. by working out mathematical formulas
   c. from the container of photo chemicals
   d. from the camera instructions

9. Which of the following is the correct sequence of use for chemical photo solutions in film processing?

   a. developer → fixer → stop bath
   b. fixer → developer → stop bath
   c. stop bath → developer → fixer
   d. developer → stop bath → fixer

10. When mixing the developer, you should make sure that the temperature of the water is:

   a. 80° F.
   b. 68° F.
   c. 46° F.
   d. 14° F.

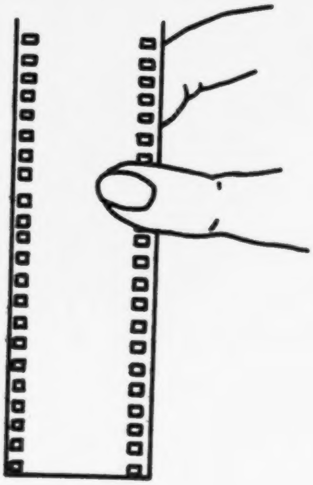
11. Suppose that you have just poured the developer into the film tank and that the developing time is almost over. What would you do next?

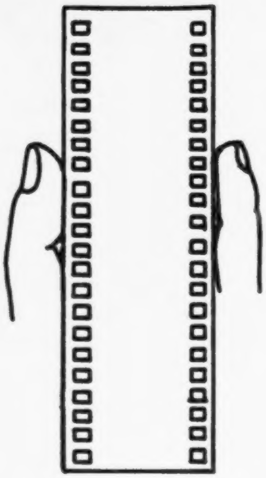
   a. Pour the stop bath into the tank.
   b. Pour the fixer into the tank.
   c. Pour the developer from the tank back into the developer jar.
   d. Pour the warm water (125° F) into the tank.

12. To wash the film, what would you do? (Choose all correct answers.)

   a. Remove the tank cover.
   b. Remove the film from the tank.
   c. Place the tank with film in it under running water.
   d. Wash the film with a wet paper towel.

13. When drying the negative film, how would you handle it?


I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a. I only
b. II only
c. either I or II
d. neither I nor II

For items 14–18, signs of poor-quality negatives are listed in the left-hand column, and probable causes for the poor quality are listed in the right-hand column. For each numbered sign, write the letter of the probable cause.

Signs

14. gray, poor contrast

15. streaks

16. spotty, fingermark stains

17. fogging or blackness along the edges

18. dense, black negatives

Causes

a. uneven development resulting from the lack of agitation during development
b. film overexposed when picture was taken, or developer that was too warm
c. lack of total darkness when film was put in the tank
d. film handled with unwashed hands when it was taken out of the wash
e. film exposed to the light when camera was loaded or unloaded

Check your answers with the correct ones provided in the answer key. Then do the practical exercise on the following page.

Practical Exercise (VI: B-2a)

1. Assemble the equipment and materials (chemicals) necessary for processing film, including the film to be processed.
2. Prepare the photo-chemical solutions according to the manufacturer's instructions that are packaged with the chemicals.
3. Process the film.
4. Examine the negatives for quality, and identify the possible causes if you observe signs of poor quality.
5. Complete the photo-negative record.
6. Discuss your work with your instructor.
7. Keep your negatives.

When you feel confident that you have achieved the objectives for processing negatives, go on to the next part.

Making Contact Prints

After you have developed the film, you have to print the negative in order to make the picture of the object photographed appear as the object really looked. A print is made on a sheet of photographic paper (or print paper), which is constructed much like the negative. The paper has been coated with emulsion, a gelatin containing light-sensitive crystals (see Figure B-2-10).

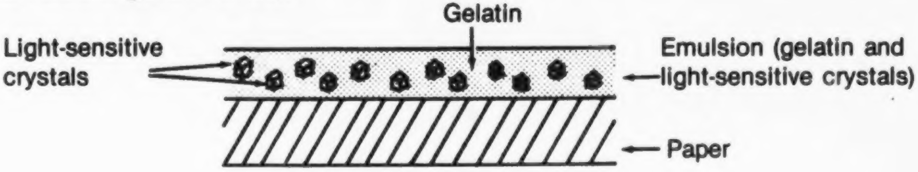

Figure B-2-10
Photographic Paper

The primary difference between the negative film and the print paper is the material on which the emulsion is coated. The negative film backing must be transparent. In printing, a light is shined through the negative onto the print paper, as shown in Figure B-2-11. As the light shines through, the dark spots on the negative will shadow those parts of the print paper. The crystals in these dark spots will not react. The crystals in the areas of the paper exposed to the light will react. During the developing process, the areas exposed to the light will turn dark and the areas not exposed will remain light. In this way, the image shows the scene as it looked when photographed.

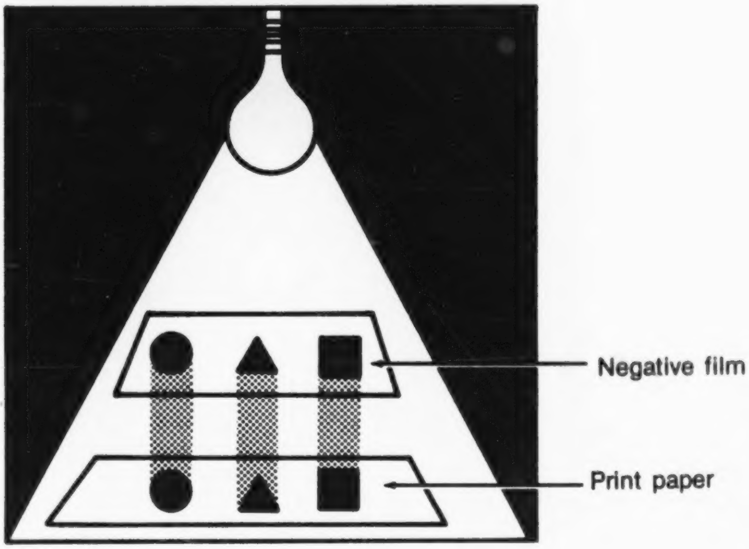

Figure B-2-11
Making Contact Prints

NOTE: Actually, the negative film is lying directly on top of the print paper during this process. They are shown separated in Figure B-2-11 simply to illustrate the way print paper is exposed.

Prints can be made the same size as the negatives by a process called "contact printing." (They can also be made larger or smaller with an enlarger, which is somewhat similar to a camera.) A contact print is a photograph on photographic paper that is the same size as the negative.

Although making contact prints is optional in general photography, it is mandatory in forensic photography. Sometimes a single photograph from a roll offered to the court in evidence can be challenged for showing something out of context. If that should happen, then you would need to offer photographs of adjoining frames. Providing the contact prints is the simplest and most effective way of offering photographs of adjoining frames, because frame numbers are visible on the strips of negative film and on the contact prints.

You should, therefore, know the basic procedure for making contact prints. It includes both preparation and processing steps.

Preparing for Contact Prints

STEP 1: Assemble the equipment (see Figure B-2-12).

- printing frame: a device with a base and a piece of hinged glass that locks in place; of proper size for an 8 x 10-inch sheet of photographic paper
- trays: standard plastic or glass photo trays that will accept 8 x 10-inch photographic paper
- safelight: a standard darkroom lamp with a safelight filter for amber or red light
- photo-blotter roll: a roll for drying prints

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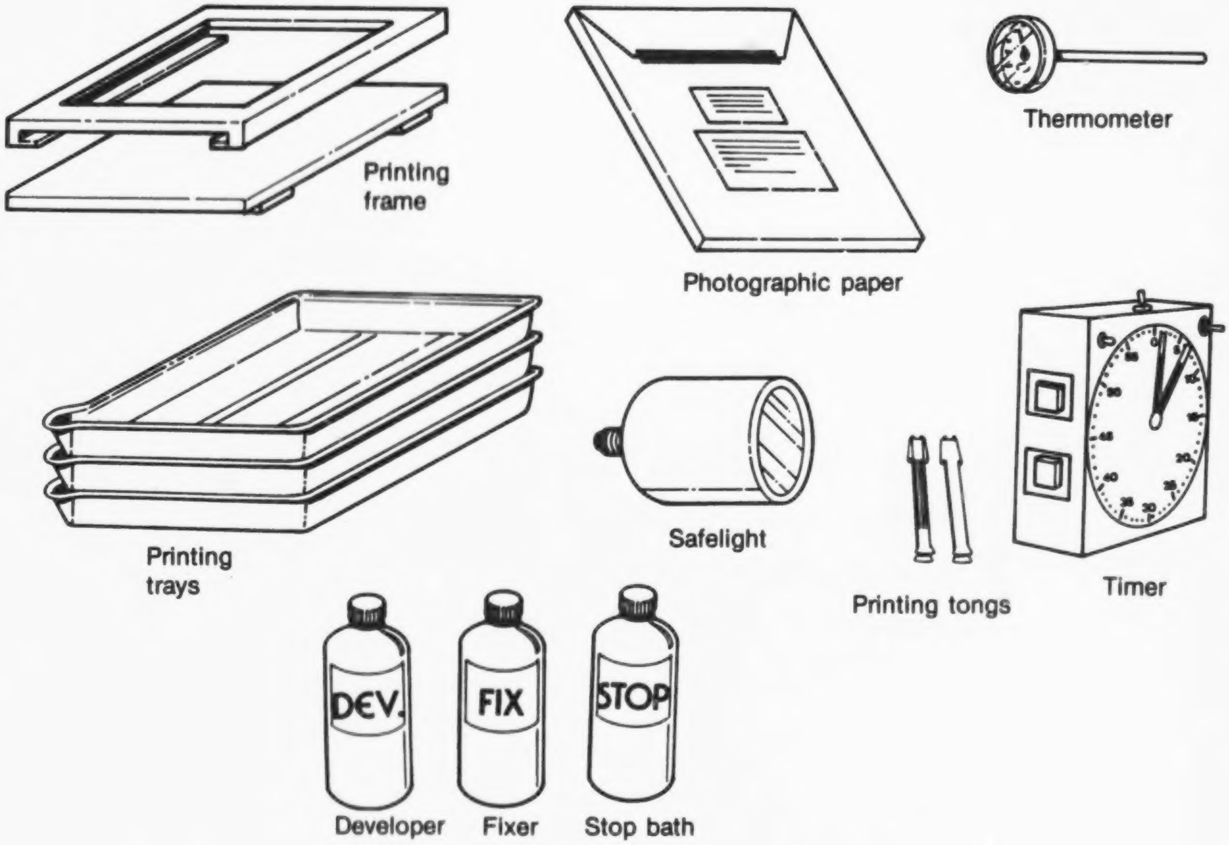
Printing frame
Photographic paper
Thermometer
Printing trays
Safelight
Printing tongs
Timer
DEV.
FIX
STOP
Developer
Fixer
Stop bath

Figure B-2-12
Equipment and Chemicals

- photographic paper: light-sensitive paper; also called "print paper"
- thermometer: the instrument for measuring the temperature of solutions (as in film processing)
- plastic printing tongs
- timer
- enlarger: an optical projector used to make a photographic print larger than the negative; consists of four basic parts—a light source, a film or negative carrier, a lens to focus the image, and a printing frame to hold the paper. In addition, the enlarger has a focusing-control knob, used to adjust the height of the lens for focusing (see Figure B-2-13).

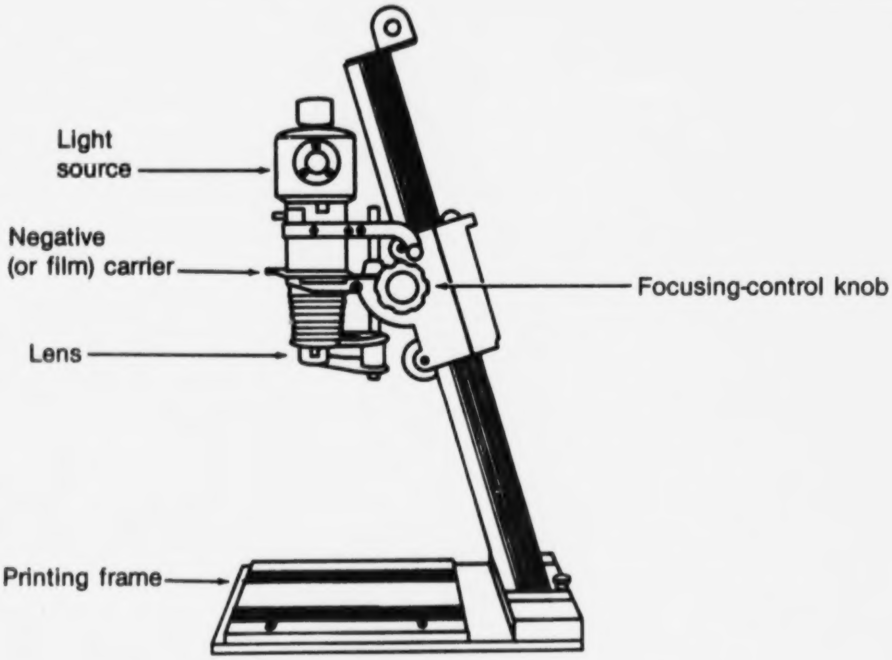

Figure B-2-13
An Enlarger

NOTE: There are two types of enlargers—one with the lens below the negative carrier, as shown in Figure B-2-13, and another with the lens above the negative carrier. Both types work about the same way.

STEP 2: Assemble the chemicals.

- paper developer: the **most critical** of the processing chemicals

  CAUTION: Follow the directions carefully, especially in regard to temperatures, as you did with the film developer. And **do not attempt to use film developers for paper developers** or vice versa.

- stop bath and fixer

  NOTE: These can usually be used for both film and paper, but often with different dilution ratios. Again, follow the directions on the packages carefully.

STEP 3: In each tray, mix the chemicals by following the manufacturer's instructions on the packages.

STEP 4: Arrange four trays from left to right: developer, stop-bath, fixer, and washing trays. The washing tray must have running water with a syphon that can drain the water at a maximum depth in order to control the water level (so that prints do not wash over the top).

STEP 5: Cut the negative film into strips (**not** into individual frames) with six frames to a strip (see Figure B-2-14).

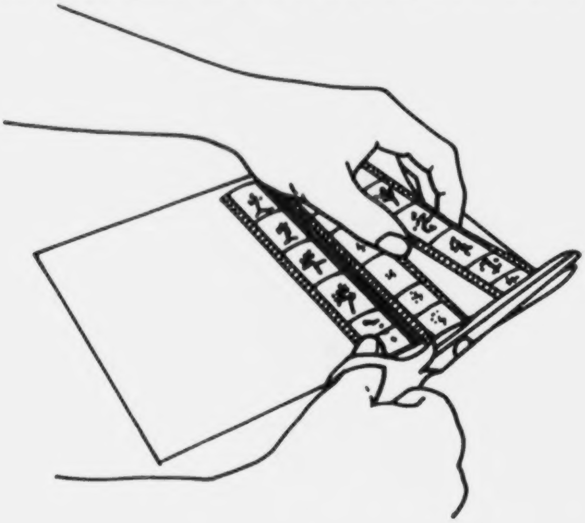

Figure B-2-14
Cutting Negative Film into Strips

STEP 6: Turn off the lights, except for the safelight. Wash and dry your hands.

STEP 7: Obtain a sheet of photographic paper from the paper package. Then close the package and place it in a lighttight drawer.

CAUTION: Do not splash chemicals on unexposed photographic paper.

Processing Contact Prints

STEP 1: Put a sheet of photographic paper into the printing frame with the paper's **emulsion side (shiny side) up** (see Figure B-2-15).

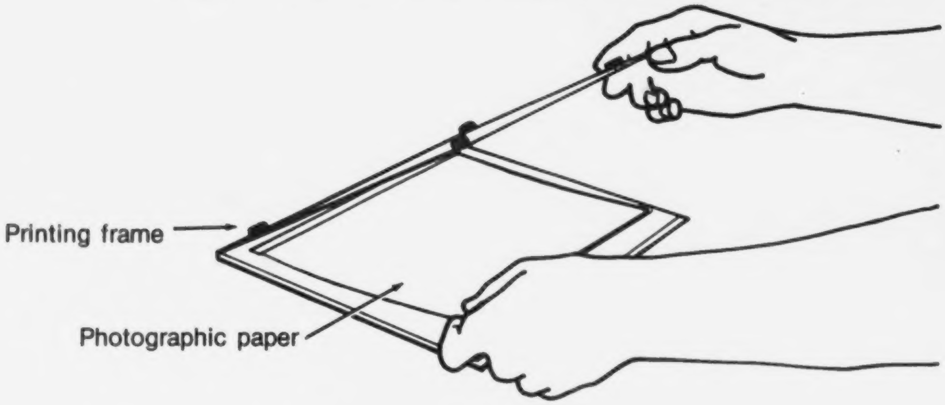

Figure B-2-15
Placing Photographic Paper in the Printing Frame

STEP 2: Place the negative strips, **dull (emulsion) side down,** on the paper. Make sure the negative strips are in numerical order.

NOTE: The emulsion side of the negative film is dull, whereas the emulsion side of the photographic paper is shiny. When you place the photographic paper and the negative, make sure the **emulsion sides are facing each other.**

STEP 3: Close and lock the cover of the printing frame. (Now your negative strips for contact prints are on the printing frame.)

STEP 4: Turn on the enlarger light for about eight seconds.

- Keep a record of the exposure time.

NOTE: You will probably have to experiment to get the correct exposure. Negatives will vary slightly in contrast as a result of the various light conditions in the original exposures.

STEP 5: Using plastic tongs, remove the paper from the printing frame, and slide the paper (shiny side up) into the developer tray.

- Rock the tray gently for about 1 1/2 minutes.

CAUTION: Do not get your hands wet with developer. If you do, you will ruin the next paper you handle.

NOTE: The developer makes the positive image on the paper visible. You get better results using one person at the wet station where the trays are and another person at the dry station where the enlarger and paper drawer are (see Figure B-2-16).

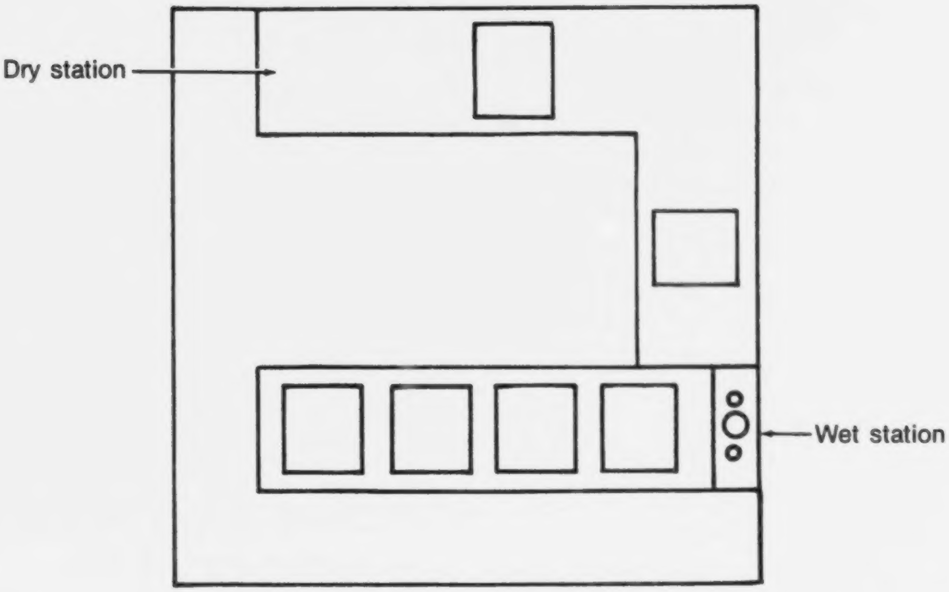

Figure B-2-16
Wet and Dry Stations

STEP 6: Take the paper out of the developer with the tongs, and let it drain by holding it above the tray for a few seconds.

CAUTION: Do not permit an excessive amount of developer to be transferred over to the stop-bath solution. It will dilute the solution and make it ineffective.

STEP 7: Slide the paper into the stop bath and leave it for ten seconds. Rock the tray.

CAUTION: Do not get any stop bath on the tongs used in the developer. It will neutralize the developer solution, and you will then have to replace it. Use a separate pair of tongs for each tray of solution.

STEP 8: Remove the paper from the stop bath, using the tongs assigned to the stop-bath tray. Transfer the paper to the fixer and leave it there for one or two minutes. Agitate the tray thoroughly throughout the process.

CAUTION: Do not touch the fixer solution with the stop-bath tongs.

STEP 9: Determine the exposure time for the development of contact prints, using the following method.

- After the paper has been in the fixer one or two minutes, turn on the light and examine the prints, lifting the paper with the set of tongs assigned to the fixer.
- If the image is consistently too dark, reduce the exposure time by about one-half.
- If it is consistently too light, double the exposure time.
- Discard the test prints.

STEP 10: Repeat Steps 1 through 9, using the exposure time you just determined.

STEP 11: When the prints show satisfactory contrast, transfer them to the wash tray, using the tongs assigned to the fixer. Wash them for about five minutes with gently running water at a temperature of about 68^{o} F. Agitate the wash tray.

STEP 12: Remove the prints from the wash bath, using the fourth set of tongs.

STEP 13: Sponge the surface dry, and place the prints on a drying blotter.

Making Enlargements

In forensic work it is seldom necessary to make enlargements of **all** negatives, so long as the contact prints are retained for possible review. For a crime laboratory technician, however, the ability to make enlargements of negative film is a necessary skill.

In this program, you will not enlarge all negatives. Pick your best negatives with normal contrast and make enlargements of those, using the following procedure as a general guideline.

STEP 1: Assemble the following equipment and materials in addition to those items you used for contact-print development.

- a projection print scale: a piece of film divided like a pie, with a number in each of ten slices; used to determine proper exposure time

  NOTE: The numbers indicate time in **seconds.** Each slice will have a different contrast (see Figure B-2-17).

- enlarging paper
- plain white bond paper

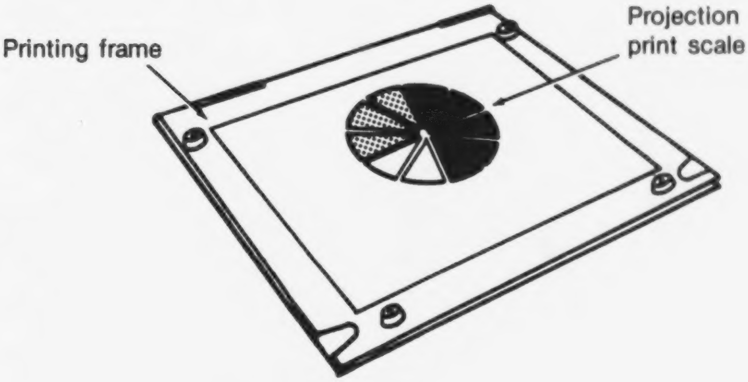

Figure B-2-17
A Projection Print Scale

STEP 2: Assemble and prepare the chemicals as you did for contact-print development—developer, stop bath, fixer, and wash.

STEP 3: Place your negative in the enlarger.

- Place the negative in the carrier with the emulsion (dull) side **down.**

- Put the carrier into the enlarger. (Now your negative is in the enlarger head.)

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STEP 4: Focus the negative.

- Place an 8 x 10-inch sheet of plain white bond paper, **not** enlarging paper, in the printing frame. Just as you had to focus the image of the object onto the film using the lens in the camera, you now focus the image in the negative onto the paper using the enlarger lens. To avoid prematurely exposing the photographic paper, use the piece of plain white paper while adjusting the focus so that the size and sharpness of the image is just as you want it to appear.
- Turn off the room light.
- Turn on the safelight.
- Set the enlarger lens to its largest opening, and turn on the enlarger light.
- Arrange your picture for focus and composition.
- Now change the enlarger lens opening to f/11 and recheck the focus.

STEP 5: Turn off the enlarger light.

NOTE: The chemicals in the emulsion on the photographic paper are slightly different from those in the negative film. The chemicals in film usually react to all wavelengths of light, whereas those in paper react to blue and green light only. Therefore, a red or amber light can safely be used without exposing the chemicals in the paper. Both the light in the enlarger and the room light have blue and green wavelengths in them, so they **will** expose the paper.

STEP 6: Place a piece of enlarging paper with the projection print scale in the printing frame.

- Remove the white bond paper and put a sheet of polycontrast enlarging paper in the printing frame in place of the bond paper. Make sure the emulsion (shiny) side of the polycontrast paper is **up**.

  CAUTION: Do not move the printing frame when replacing the bond paper with a sheet of polycontrast paper.
- Place the projection print scale on top of the enlarging paper.

STEP 7: Turn on the enlarger light for **one** minute.

STEP 8: Process the enlarging paper as you did the contact prints—developer for 1 1/2 minutes, stop bath for ten seconds, and fixer for one or two minutes.

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STEP 9: Determine the exposure time, using the following method.

- After the paper has been in the fixer two minutes, turn on the room lights and examine the print. Pick out the section that looks best.
- Identify the number in the corresponding section of the projection print scale. This number will be the proper exposure time in seconds for your enlargement.
- Discard the test print.

STEP 10: Reset the timer for the new exposure time. Place a sheet of enlarging paper in the printing frame, turn on the enlarger light for the required time, and then repeat Step 8.

STEP 11: Examine the enlarged print.

- If it is too dark, reduce the exposure time by half, and repeat Step 10.
- If it is too light, increase the exposure by half, and repeat Step 10.

STEP 12: Wash the enlargement in gently running water at about 68^{o} F. (See the manufacturer's manual for the type of paper being used to determine washing time.)

STEP 13: Dry the enlargement in the blotter roll.

NOTE: There is an available product that will develop, fix, and dry a contact print or enlargement in less than a minute.

Completing Photo Records

After you have taken pictures and developed them, you should complete the photo record for a chain of custody of evidence. There may be two types of photo records: the photo-negative record (see Figure B-2-18) and the photo-enlargement record.

There are many court-imposed rules to be observed in forensic photography. One of them is **to keep a chain of custody of evidence.** This is a documentation of all persons, by their names, who have possessed the film or negative from the time the picture was taken until it is presented in court. A photo record should include the following:

Photo-Negative Record

1. the **case number** for which the picture was taken
2. the date and time when the picture was taken
3. the place where the picture was taken
4. the subject of the picture

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5. the name of the photographer
6. camera description
7. camera height and/or camera position
8. the lens opening and the shutter speed
9. the film type
10. lighting: light conditions, flash, etc.
11. the film developer, development time and temperature

Photo-Enlargement Record

1. the **case number**
2. reference numbers: roll number and frame number
3. the name of the photo technician
4. the paper developer and the lens setting
5. the date of printing

NOTE: Keeping a photo-enlargement record can be made easier with a rubber stamp that can be used to stamp the information needed (as listed above) on the back of each print. Then the correct information for that print can simply be filled in.

---

case number: a number assigned to all complaints received by a law enforcement agency, as part of its record procedure.

PHOTO-NEGATIVE RECORD

Photographer ______________________ Developer ______________________

Development time and temperature ______________________

Case No. __________ Film Type __________ Roll No. _____ Camera Format __________

FRAME NUMBER	f SETTING	SHUTTER SPEED	LENS mm	CAMERA HEIGHT	CAMERA DISTANCE	FILTER	LIGHTING	LOCATION AND SUBJECT	TIME	DATE
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										
16										
17										
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25										
26										
27										
28										
29										
30										
31										
32										
33										
34										
35										
36										

NOTES: ____

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Figure B-2-18
Example of Photo-negative Record

Summary

In order to process contact prints, you should do the following:

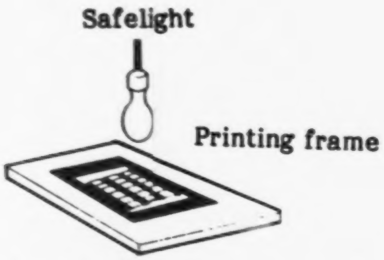
- Place the negative strips in contact with photographic paper in a printing frame.
- Turn on the enlarger light to expose the negative strips and paper to light.
- Place the paper in the developer to make the positive images on the paper visible.
- Place the paper in the stop bath to stop the action of the developer.
- Place the paper in the fixer to preserve the positive images on the paper.
- Wash the paper in gently running water to remove the fixer and undeveloped silver.
- Dry the prints.

(Figure B-2-19 on the following page illustrates the steps in processing contact prints.)

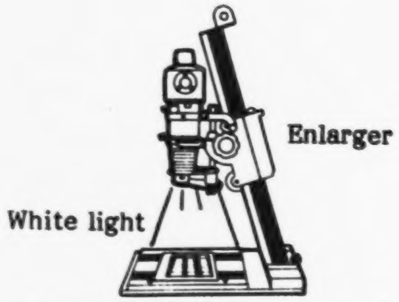
In order to make an enlargement, you should do the following:

- Place the negative in the enlarger head.
- Focus the negative on plain white bond paper.
- Place a piece of enlarging paper with the projection print scale in the printing frame.
- Shine the enlarger light for one minute through the negative to form an image on the light-sensitive enlarging paper.
- Process the enlarging paper by placing it in the developer, stop bath, and fixer.
- Determine the proper exposure time for the enlargement by selecting the section under the projection print scale that looks the best and identifying the number for that section.
- Repeat the enlargement process, if necessary, using the exposure time determined with the use of the projection print scale.
- Wash and dry the enlargement.

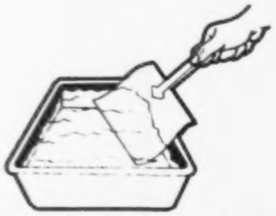
Complete the photo records for the chain of custody of evidence.



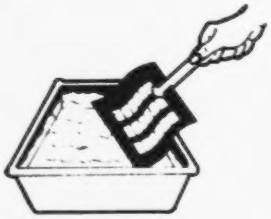
1. Place the negative strips and photographic paper in the printing frame.



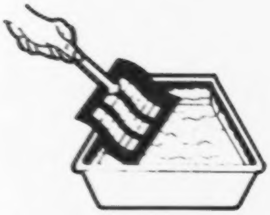
2. Expose them to white light.



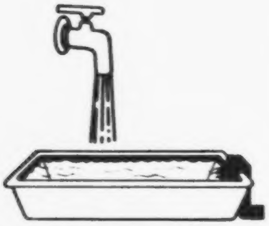
3. Place the photographic paper in the developer (under safelight).



4. Place the paper in the stop bath (under safelight). The images are now visible on the photographic paper.



5. Place the paper in the fixer (under safelight).



6. Wash the paper in gently running water (in room light).

Figure B-2-19
Processing Contact Prints

Now complete the review questions beginning on the next page.

Review Questions (VI: B-2b)

Write your answers on a separate sheet of paper.

1. Which of the following chemicals do you need for contact-print development and enlargement? (Choose **all** correct answers.)

   a. developer
   b. stop bath
   c. contact printer
   d. fixer

2. What is a contact print?

   a. a chemical stain on a print made by dirty fingers
   b. a photograph the same size as the negative
   c. a photograph enlarged from a negative
   d. a negative only, unprocessed

3. Suppose a district attorney showed a picture of a crime scene as evidence in court and the defense attorney asked whether it was actually the crime scene related to the case being tried. What should the district attorney present in response to the defense attorney's question?

   a. the contact print of the picture shown in court
   b. the negative of the picture shown in court
   c. the contact print of the picture and its adjoining frames, all showing the frame numbers
   d. the enlargement of the picture shown in court

4. How should you cut the negative film to develop contact prints?

   a. Cut it into single frames.
   b. Cut it into strips, six frames to a strip.
   c. Cut it into two frames.
   d. Cut it into twenty frames or more.

5. When you develop contact prints, which side of the negative and which side of the photographic paper should face each other during exposure to the light?

   a. the dull side of the paper to the shiny side of the negative
   b. the dull side of the paper to the dull side of the negative
   c. the shiny side of the paper to the shiny side of the negative
   d. the shiny side of the paper to the dull side of the negative

6. When developing the contact prints, you should examine each print to determine the exposure time after the paper has been in the ____________ for a couple of minutes.

   a. developer
   b. contact printer
   c. stop bath
   d. fixer

7. When you wash the contact print, you should wash it with gently running water at a temperature of about:

   a. 50^{o} F.
   b. 56^{o} F.
   c. 68^{o} F.
   d. 86^{o} F.

8. When making enlargements, you may use a projection print scale. The numbers in the scale indicate time in:

   a. hours.
   b. minutes.
   c. seconds.
   d. several different ways, depending upon the manufacturer.

9. When making enlargements, where should you place the negative?

   a. in the enlarger head
   b. on the printing frame
   c. on the enlarging easel
   d. on the print scale

10. When you place a sheet of polycontrast paper in the printing frame, you should place it with its emulsion (shiny) side:

    a. up.
    b. down.
    c. either up or down.
    d. next to a sheet of bond paper.

11. When you expose the enlarging paper with the print scale on it to the enlarger light, how long should you expose it?

    a. about one minute
    b. about ten minutes
    c. about thirty minutes
    d. about sixty minutes

12. Suppose when you examine a contact print, the print is too dark. You should then __________ the light-exposure time.

    a. increase
    b. decrease
    c. keep
    d. eliminate

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13. What is the main purpose of completing photo records?

    a. to obtain credit for good work
    b. to have them for use in evaluating the performances of laboratory technicians or law enforcement officers
    c. to have them filed with the FBI for later use
    d. to keep a chain of custody of evidence

14. Which of the following information should be included in a photo-negative record? (Choose **all** correct answers.)

    a. the date and time picture was taken
    b. the lens opening and shutter speed
    c. the film developer
    d. the name of the photographer

Check your answers with the correct ones provide in the answer key. Then do the practical exercise on the following page.

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Practical Exercise (VI: B-2b)

1. Obtain the negative film that you processed in the previous part.
2. Assemble all the equipment and materials necessary for making contact prints and enlargements.
3. Develop contact prints and enlargements.
4. Complete a photo-enlargement record.
5. Discuss your work with your instructor.

NOTE: Your instructor may want to look at the contact prints and enlargements of the pictures you took in the previous section (VI: B-1) to evaluate some of your picture-taking performances.

If you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: B-2).

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Block VI: Criminalistics

Unit B: Basic Forensic Photography

Section 3: Personal Identification Photography

Ask your instructor for the pretest for this section (VI: B-3). After you complete the pretest, your instructor will let you know whether to study this section or take the posttest.

Introduction

As discussed in Unit A of this block, the objective of all criminalistic work is to identify class (general) and individual (specific) characteristics of the specimen, whether it is a bullet, a fingerprint, blood, hair, or fiber. This is also true of photographs of persons. The face of each person has class characteristics, as well as unique, individual characteristics: the hairline; the shape of the face, ears, and mouth; and scars, freckles, moles, or skin blemishes. The intent of personal identification photography is to be able to identify positively a subject from a photograph by these specific characteristics. You should, therefore, portray a person, place, or thing so accurately that the photograph cannot be successfully challenged in a court of law.

In this section, you will learn to take four types of photographs for identification purposes: close-up, full-length, surveillance, and lineup photographs.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Given descriptions or examples of four types of identification photographs, identify each type by name.
2. Identify the purposes of close-up, full-length, surveillance, and lineup photographs.
3. Identify basic, general procedures for taking front and profile, full-length, surveillance, and lineup photographs.

Performance Objectives

Given a camera, a roll of film, photoflood lamps, a tripod, subjects (your classmates, maybe), and a lineup report, (1) take **four** close-up identification photographs (two front and two profile), **two** full-length photographs, and a lineup photograph; (2) produce an enlargement of each photograph taken; and (3) complete the lineup report.

Your performance and products will be evaluated with the use of a performance checklist. Your performance and products should be rated "A" (acceptable) on all of the items on the checklist.

Tasks:

For Close-Up Photographs

1. Make sure the camera has unexposed film in it.
2. Adjust the shutter speed and lens opening according to lighting conditions and film sensitivity.
3. Make a simple lighting arrangement with two lamps.
4. Take two pictures of the subject from the front and two pictures of the subject's profile.

For Full-Length Photographs

1. Make sure the camera has unexposed film in it.
2. Adjust the shutter speed and lens opening.
3. Make a simple lighting arrangement with two lamps.
4. Take two pictures of the subject in full length.

For Lineup Photographs

1. Make sure the camera has unexposed film in it.
2. Arrange the lighting with a series of photoflood lamps.
3. Set up the camera on a tripod in front of the lineup.
4. Adjust the shutter speed and lens opening.
5. Focus the camera on the center of the group.
6. Make sure there are no suggestive markings in view at the lineup.
7. Take a picture of the lineup.
8. Complete the lineup report.

For All Photographs

1. Complete the tasks listed above in an acceptable amount of time.
2. Produce an enlargement of each photograph taken.

Products:

The pictures show

- individual (specific) characteristics of the person shown in the close-up photographs
- identification characteristics such as kind of clothing, build, and height of the person shown in the full-length photographs
- everyone in the group clearly visible in the lineup photograph.

Close-up Photographs

There are two purposes for taking close-up photographs. One is to identify an individual. The other is to record injuries for later presentation in court or in a laboratory examination.

Identification photographs are usually front and profile. An intermediate profile is sometimes also made.

Close-up photographs should show **individual** characteristics of suspects or victims of a crime, whether they are living, injured, or dead, with details such as wounds, injuries, weapons, or special personal features. With this goal in mind, use the following procedure as a general guideline when taking close-up photographs.

STEP 1: Obtain a camera and a tripod.

NOTE: As discussed in the previous section, a twin-lens or a single-lens reflex camera is recommended.

STEP 2: Set the film speed and load the film in the camera.

NOTE: Color film is used more extensively than black-and-white because it adds another dimension to the individual (specific) characteristics requirement. Because of the added cost of color film, however, you may need to use black-and-white film for this program.

STEP 3: Adjust your shutter speed and lens opening for the lighting conditions and film sensitivity.

NOTE: For black-and-white film such as TRI-X Pan film, 1/125 for shutter speed and f/2.8 for exposure might be all right.

STEP 4: Set up the camera on the tripod.

STEP 5: For the identification photo, position the subject and make a simple lighting arrangement (see Figure B-3-1).

- Place the subject **five feet** from the background screen.
- Place the camera **four feet** from the subject.
- Place one photoflood lamp **four feet** to the left and one photoflood lamp **four feet** to the right of the subject at 45-degree angles.

NOTE: For photographing an injury, the lighting will vary (backlighting, frontlighting, sidelighting, soft lighting, flat lighting) according to the type and location of the injury.

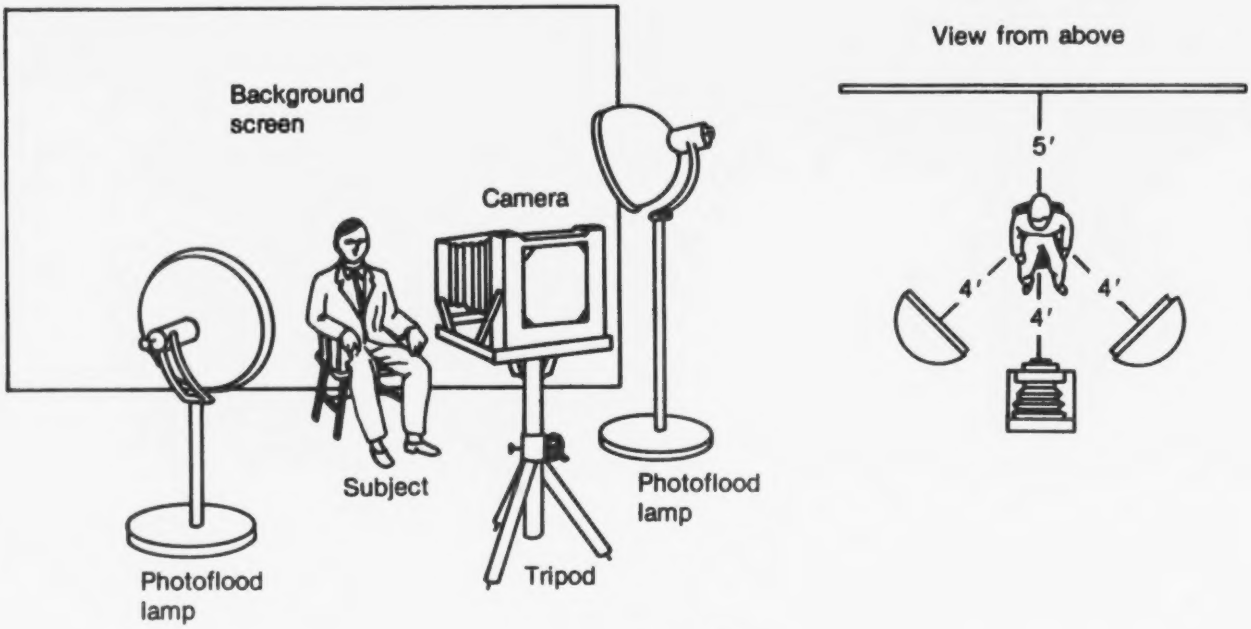

Figure B-3-1
Lighting Arrangement for Identification Photo

From Basic Police Photography. 2nd ed. Rochester, N.Y.: Eastman Kodak Company, 1963. Used with permission.

NOTE: Three-quarter angles are also used in some agencies.

STEP 6a: For an identification photo, take pictures of a front **and** a profile.

- Although front and profile shots are usually taken while the subject is seated, you may have the subject stand with a height scale visible. Since this is not a full-length photograph, you should raise the lights and camera to the subject's face.

STEP 6b: For an injury photo, photograph injuries on both suspect and victim.

NOTE: Usually more photographs are required of an injured subject than of a subject for whom only identification photos are needed.

- The first photo should be a full-length photo to identify who the person is and how tall s(he) is (see next segment).
- A medium-range photo should show the injury and its location on a person's body.
- A close-up photo should be taken to show details of the injury.

- A second close-up should then be taken with a ruler beside the injury.

- Some injuries may need to be photographed both before and after they are cleaned up.

STEP 7: Record appropriate information on a photo-negative record.

NOTE: If you have a photo made from one frame of a roll for forensic work and if you are challenged by the defense, you must be able to present to the court contact prints as proof of what was on the other frames. In addition, you may need to present a photo-negative record and a photo-enlargement record on that particular print (frame) in order to explain how the photos were taken and how the print was developed. You should, therefore, fill out a photo-negative record with appropriate information as you take each picture.

Full-Length Photographs

Full-length photographs usually are not used for identification purposes in place of close-up photographs of standard front and profile. But they are sometimes used to supplement the routine identification photographs. Identification characteristics sought in full-length photographs include the subject's kind of clothing, build, and height (for comparison with those of victims or suspects) and any physical disability.

The following are suggestions for taking full-length photographs:

- Use the camera and film as you did for close-up front and profile photographs.

- Set the shutter speed and lens opening as you did for close-up front and profile photographs.

- The lighting arrangement and positioning of the subject are usually the same as for close-up front and profile photographs, **except** that you should move the camera back to get the full length of the subject in the viewfinder. Occasionally you need to change the lighting to reproduce the lighting conditions under which a witness saw the suspect.

- Record appropriate information on the photo-negative record.

Surveillance Photographs

In order to preserve the crime scene, it is sometimes necessary to choose a hidden surveillance point and photograph criminals while they are committing the crime.

Since the photographer would be vulnerable to violence if near criminal activities (riot, robbery, etc.), s(he) should take pictures of on-scene activities from a van equipped with a one-way mirror, using miniature camera equipment. Or s(he) can take telephotographs from adjoining rooftops using a telephoto lens. (If you want to practice taking surveillance photographs of criminals in action, take pictures of crowds in situations like rock festivals, strikes, parades, and ball games.)

For surveillance photographs, use the following procedure as a guideline:

- Obtain a 35mm, single-lens reflex camera because it can be fitted quickly with special lenses such as a telephoto lens.
- Obtain a telephoto lens because it is often desirable.
- Set shutter speed and lens opening according to the light available and the sensitivity of your film. (Use the automatic metering system on some central point of the target area, and set the shutter speed and the lens opening before the action begins.)

Lineup Photographs

The lineup procedure is the process of placing a criminal suspect in a group of other persons so that a witness can observe and identify the suspect. Often this witness is the victim of the crime in question or a person who has previously witnessed a crime in progress. Photographs should be made of the lineup to record it for later reference.

For lineup photographs, follow the procedure below as a guideline:

- Prearrange the lighting by using a series of photoflood lamps focused on a background that includes a height scale. (Usually there is a screen or a one-way mirror between the lineup of people and the witness viewing the lineup.)
- Set up the camera on a tripod directly in front of the lineup to be photographed. Adjust the distance by checking the viewfinder to make sure everyone is fully included.
- Set the shutter speed and lens opening according to the light available and film sensitivity. (You can determine the settings by checking the light-metering system of the camera.)
- Focus the camera on the center of the group.
- Make sure there are **no** suggestive markings in view at the lineup.
- Take a picture of the lineup.
- Complete the appropriate part of a photo-negative record.
- Complete the lineup report (see Figure B-3-2).

NOTE: You should not ask questions of the suspect or of any of the other persons in the lineup because they have been advised that they have the right to remain silent.

LINEUP REPORT

Investigator ______________________________ Case Number __________

Location of Lineup ______________________ Date __________ Time ________

The lineup was composed of the following persons:

No.	Name
1.	______________________________
2.	______________________________
3.	______________________________
4.	______________________________
5.	______________________________

Suspects are: No. ______________ Name ______________________

No. ______________ Name ______________________

Identifying witnesses were:

No.	Name	Number Identified
1.	________________	No. ______________
2.	________________	No. ______________
3.	________________	No. ______________
4.	________________	No. ______________

Photographer ____________________ Camera ________________

Frame No. ____________ F-No. ____________ Speed ____________

Signatures:

Investigator ______________________________________

Photographer ______________________________________

Figure B-3-2
Example of a Lineup Report

Summary

1. Close-up photographs
    - a. camera
        - (1) twin-lens reflex
        - (2) single-lens reflex
    - b. film
        - (1) color
        - (2) black-and-white
    - c. guidelines for front and profile identification photographs
        - (1) positions of equipment
            - (a) two photoflood lamps, one right and one left at 45-degree angles and four feet away from subject
            - (b) camera placed four feet in front of the subject
            - (c) background screen placed five feet behind the subject
        - (2) exposure—shutter speed and lens opening as determined from light-metering system
        - (3) position of subject
            - (a) sitting
            - (b) standing
    - d. guidelines for injury photographs
        - (1) full-length photo first for identification
        - (2) medium-range photo next to show injury and its location on the body
        - (3) close-up photo of injury to show details
        - (4) close-up photo with ruler next to injury

        NOTE: Lighting for injury photographs will vary.

    - e. photo-negative record

2. Full-length photographs
    - a. camera and film—same as for front and profile photos
    - b. lighting—special lighting to reproduce conditions when victim saw suspect
    - c. distance—camera moved back to include height in viewfinder
    - d. photo-negative record

3. Surveillance photographs
    - a. camera—35mm, single-lens reflex, usually with telephoto equipment
    - b. exposure—shutter speeds and lens opening according to the light available and film sensitivity
    - c. photo-negative record

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4. Lineup photographs

   a. lighting—a series of photoflood lamps
   b. focus on center of group
   c. no suggestive markings in view
   d. no questions to the suspects
   e. photo-negative record
   f. lineup report

Now complete the review questions beginning on the next page.

Review Questions (VI: B-3)

Write your answers on a separate sheet of paper.

1. Which characteristics are important in forensic photography? (Choose **all** correct answers.)

   a. general characteristics
   b. specific characteristics
   c. artistic characteristics
   d. dramatic characteristics

2. At which of the following locations or activities can photographs of crime in action probably be obtained?

   a. points where crime patterns have been established
   b. riots and strike areas
   c. rock concerts
   d. all of the above

3. Which type of photograph is taken to show injuries and wounds the victim or the suspect has as a result of the crime?

   a. close-up photograph
   b. full-length photograph
   c. surveillance photograph
   d. lineup photograph

4. Which type of photograph is **not** usually used to show the specific identification characteristics of a subject, but is used in addition to the standard identification photographs?

   a. close-up photograph
   b. full-length photograph
   c. surveillance photograph
   d. lineup photograph

5. Which of the following angles of view are important in close-up identification photography? (Choose **all** correct answers.)

   a. front
   b. back
   c. profile
   d. one-quarter

6. Which type of photograph is taken from a hidden observation point in a van equipped with security devices?

   a. close-up identification photograph
   b. full-length identification photograph
   c. surveillance photograph
   d. lineup photograph

7. Which of the following is the best lighting arrangement in personal identification photography?

   a. bright photoflood from the right, dim fill-in lamp to the left
   b. special spotlight to create flattering shadow on the subject's face
   c. two photoflood lights, one four feet to the left and one four feet to the right of the subject and at 45-degree angles
   d. a series of photoflood lights in front of the subject at 45-degree angles

8. Which of the following is true about the lineup procedure? (Choose **all** correct answers.)

   a. The photographer should use two photoflood lamps for lighting.
   b. A criminal suspect is placed among a group of other people for a witness to observe.
   c. In the field of view there should be no markings that would suggest the suspect's identity.
   d. The photographer should not ask questions of the suspect.

Check your answers with the correct ones provided in the answer key. Then do the practical exercise on the following page.

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Practical Exercise (VI: B-3)

1. Obtain a camera, film, a tripod, photoflood lamps, a photo-negative record form, a photo-enlargement record form, and a lineup report form from your instructor.

2. Arrange with your instructor and classmates for the subject(s) of the picture.

3. Take close-up photographs of the subject's front and profile, then of the subject full-length.

4. Take lineup photographs.

5. **With your instructor's permission,** take surveillance photographs of any subject.

6. Produce contact prints and enlargements of the photographs you have taken. (Your instructor may want you to skip this task.)

7. Complete the photo-negative record, the photo-enlargement record (if the photos are enlarged), and the lineup report.

8. Discuss with your instructor any questions and concerns that arose while you took personal identification photographs.

If you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: B-3).

Block VI: Criminalistics

Unit B: Basic Forensic Photography

Section 4: Evidence Photography

Ask your instructor for the pretest for this section (VI: B-4). After you complete the pretest, your instructor will let you know whether to study this section or take the posttest.

Introduction

As discussed in Unit A of this block, forensic science is largely concerned with comparative analysis. It usually involves the comparison of evidence items that link the defendant (or suspect) to the crime. But forensic science does not remain in the laboratory. It is completed in the courtroom. The jury must understand what the evidence means. Explaining the evidence to the jury can often be done most clearly with the use of photographs.

The photographs shown to a jury range from those of large areas, such as crime scenes, to those of very small items, such as a strand of hair, which must be photographed through a microscope. The forensic photographer, then, must have the skills to deal with all kinds of evidence photography.

In this section, you will learn the magnification levels of evidence photography and basic information on fingerprint and crime-scene photography.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify lens opening, shutter speed, and focusing for normal-lens magnification photography.

2. Given descriptions, magnification ranges, and/or examples of four magnification levels of evidence photography, identify each level.

3. Describe three items of comparative photography and two examples of results of comparative photography.

4. Identify the desirable degree of magnification, type of camera, or magnification devices needed for fingerprint photography.

5. Identify procedures for preparing fingerprint photographs for courtroom display.

Performance Objectives

Given access to a camera, film, close-up lenses, a macroextension device, manufacturer's manual, darkroom facilities, and objects to be photographed, perform the following tasks.

1. Take pictures of objects for each of the following:

   a. normal-lens magnification photography
   b. close-up photography
   c. macrophotography

2. Take pictures of objects for evidence comparison (comparative photography).

3. Photograph latent and ink-rolled fingerprints for a fingerprint comparison.

4. Photograph a mock crime scene or accident scene. (Optional)

Your performance and products will be evaluated with the use of a performance checklist. Your performance and products should be rated "A" (acceptable) on all of the items on the checklist.

Tasks:

For Normal-Lens Magnification Photography

1. Inform the instructor of the object to be photographed.
2. Take a picture of the object (a) using a normal 50mm lens and (b) focusing the camera to the closest marked distance on the focusing ring.

For Close-Up Photography

1. Inform the instructor of the object to be photographed.
2. Determine the degree of magnification, and select the correct close-up lens.
3. Attach the close-up lens to the normal lens.
4. Measure the distance, using the lens manufacturer's chart.

For Macrophotography

1. Inform the instructor of the object to be photographed.
2. Obtain an extension device.
3. Attach the device to the camera, following the manufacturer's instructions.

For Comparative Photography

1. Inform the instructor of the objects (the evidence item and the item suspected of matching the evidence item) to be photographed.
2. Select the correct lens or extension device to magnify the objects appropriately.
3. Take pictures of both items.

For Fingerprint Photography

1. Obtain the latent and ink-rolled fingerprints to be photographed.
2. Select the correct camera, close-up lens, or extension device to produce one-to-one magnification of fingerprints.
3. Photograph both the latent print and the ink-rolled fingerprint.
4. Enlarge the photographs of these two types of fingerprints.
5. Check them to make sure they show the matching areas.

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6. Make a master of these two fingerprints by placing them side by side.

7. Photograph the master.

For Crime- or Accident-Scene Photography (Optional)

1. Take an overview photo of the scene.

2. Take pictures of small items of physical evidence, using close-up lenses or an extension device.

For All Photography

1. Perform all tasks listed in an appropriate amount of time.

2. Produce an 8 x 10-inch enlargement for each photograph taken.

Products:

1. Photographs taken to represent the three magnification levels should show each image in the appropriate level of magnification.

2. Photographs taken to show a comparison of two items (an evidence item and the item suspected of matching the evidence item) should show matching images in the appropriate level of magnification.

3. The master photograph of the two fingerprints (latent and ink-rolled) should show matching areas side by side and appropriately enlarged.

Evidence Photography

Evidence photography, which involves photographing items of evidence, is an essential function of forensic photography. Photographs of a piece of evidence in its original condition can provide a critical clue to the identification of the suspect. Fingerprint photography (involving both ink-rolled and latent fingerprints) plays an important role in investigations and court trials. Crime-scene photography can help investigators establish the relationship of the evidence to the overall circumstances.

Magnification Levels of Evidence Photography

Evidence photography often requires magnification, both at the crime scene and in the laboratory. Magnification enables an investigator to examine properly class and individual characteristics, ranging from the microscopic size of blood cells to areas as large as an entire building or an intersection. According to the degree of magnification required, evidence photography can be categorized into the following four levels: normal-lens magnification photography, close-up photography, macrophotography, and microphotography.

NOTE: When we speak of "magnification" in photography, we do not necessarily mean that the image will be larger than the actual (or life) size of the object or person photographed. As part of a society used to taking photographs, we are aware that usually the object being photographed is much larger than the size of the film in the camera. Thus, when we use a close-up lens to increase the size of the image on the film so that it is larger than a normal lens would allow, we say that it is "magnified," even though the image may still be only a percentage of the actual size of the object photographed.

Normal-Lens Magnification Photography

With a normal 50mm lens on a 35mm, single-lens reflex camera, you can achieve magnification up to 0.1 (ten percent of actual size). But you can have the effect of greater magnification by enlarging the photograph. Examples of evidentiary items for which normal-lens magnification is useful are wounds of a victim and bullet holes. For normal-lens magnification you should do the following:

- Use a small lens opening (f/16 or f/22).
- Adjust the shutter speed according to the light available and film sensitivity.
- Focus the camera to the closest marked distance on the focusing ring.

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Close-up Photography

This type of photography is usually used to show the exact position of very small items of evidence such as hairs and fibers before they are touched.

The magnification range of close-up photography is from 0.1 to 1.0. This means ten percent of the actual size of the object being photographed to actual size (actual size is also expressed as "1:1"). Technically, close-up photography begins where normal-lens magnification ends.

For close-up photography, you can use close-up lenses which come in various magnifications, indicated by numbers, usually 1, 2, and 3. When photographing an item with a close-up lens, you should do the following:

- Decide on how much magnification you want and, from the chart provided with the lenses, select a close-up lens to provide the desired magnification.
- Screw the close-up lens into the filter threads on the front of the normal lens.
- Measure the distance by using the chart provided by the lens manufacturer. (An example of such a chart is shown in Figure B-4-1.)

Camera Lens	Close-Up Lens	Maximum Subject Distance		Minimum Subject Distance		Magnification	
		MM	IN	MM	IN	MIN	MAX
50mm	450	450	18	237	9.3	0.11	0.23
	240	240	9.5	162	6.4	0.21	0.34
	450+240	156	6.1	118	4.6	0.32	0.47
100mm	450	450	18	300	12	0.22	0.37
	240	240	9.5	189	7.5	0.41	0.60
	450+240	156	6.1	133	5.3	0.64	0.84
200mm	450	450	18	379	15	0.44	0.57
	240	240	9.5	218	8.6	0.83	1.0
	450+240	156	6.1	146	5.8	1.3	1.5

Figure B-4-1
Approximate Magnification Ranges
of Close-up Lenses

From How to Select and Use Cannon SLR Cameras, Fisher Publishing, Inc., 1979. Used with permission.

Macrophotography

The magnification range of macrophotography is from actual size (1.0) to over ten times actual size. That is, macrophotography takes over where close-up photography leaves off. In general, therefore, macrophotography is used for items that are too small for close-up photography but too large for microphotography; such items include markings left by tools, knives, or guns.

For macrophotography, you can use the normal lens with supplementary equipment such as spacer rings, extension tubes, or a bellows extension (see Figure B-4-2), which can give you magnifications up to ten times actual size. When using an extension device for macrophotography, you should consult the manufacturer's manual for correct procedures.

A special lens, called a "macrolens," is also available for macrophotography. It can be used alone or, for even greater magnification, with one of the extension devices.

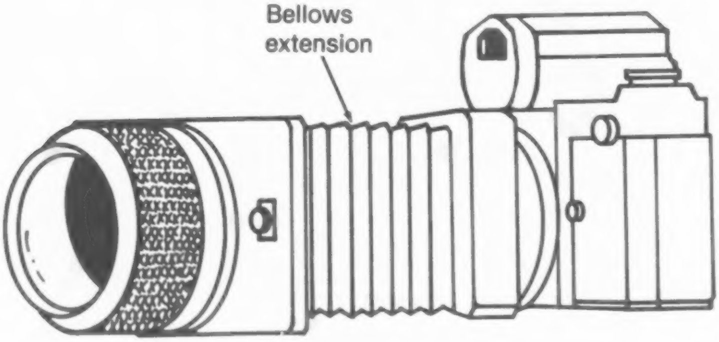

Figure B-4-2
Camera with Bellows Extension

Microphotography

Microphotography (also called "photomicrography") involves items small enough to be viewed through a microscope. Such items include blood cells, semen, elements of drugs, and the internal structure of a strand of hair. Depending upon the type of microscope, an item can be magnified from ten to possibly 1000 times its actual size.

For microphotography, the camera should be mounted directly on the microscope with a special mounting fixture, as shown in Figure B-4-3.

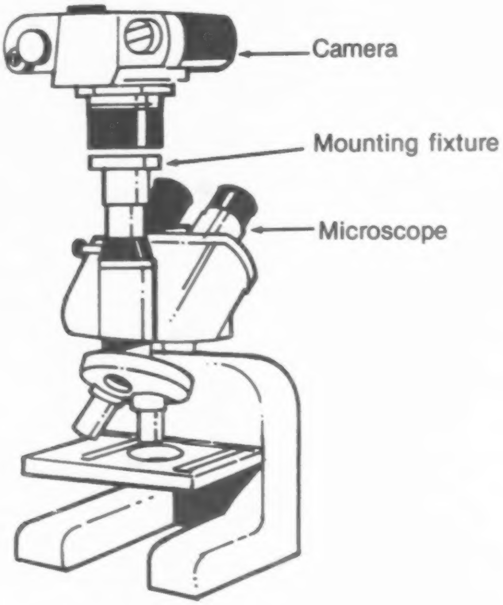

Figure B-4-3
Camera Mounted on the Microscope
for Microphotography

There is no camera lens (or f-stop) to be set for microphotography because the lens system of the microscope serves this purpose. The main concern in microphotography is with determining exposure **time** (shutter speed).

NOTE: Equipment and techniques for microphotography are beyond the scope of this basic program, but if you are interested in learning more about them, read the instructions that come with the microscope and Kodak Data Book No. P-2, Photography Through the Microscope.

Types of Evidence Photography

Comparative Photography

The purpose of comparative photography is to produce photographs that can be used to show a comparison of a physical pattern in a piece of evidence with an item suspected of either making or matching that pattern. For example—with the use of photographs—tire impressions, typewritings, and handwritings obtained as evidence can be compared with a suspect's tires, typewriting, and/or handwriting to show the jury the similarities and differences between the evidence and the items associated with a suspect. The results of examining comparative photographs could be any of the following:

- A broken headlight lens at the scene of a hit-and-run accident is matched with the remaining glass on a suspect's vehicle.

- A wound found on a victim's body is matched with a weapon found on a suspect.

- Foot impressions found at the crime scene are matched with a suspect's shoe.

Depending upon the size of the item you are photographing, you might need to use a normal lens, a close-up lens, an extension device, or a microscope for comparative photography.

Fingerprint Photography. Once a latent print on an immovable object is developed, it should be preserved for display in the courtroom. In order to document the location of a latent print, the print is photographed where it is found before any lifting technique is applied.

NOTE: Fingerprint-lifting techniques will be discussed in the next unit.

In order to show a comparison of latent fingerprints with ink-rolled fingerprints in the courtroom, ink-rolled fingerprints must also be photographed. **Both types of fingerprints should be photographed in actual size,** which is expressed as **1:1 (one-to-one).** Therefore, fingerprint photography may be categorized either as **close-up photography** or as **macrophotography.**

1. Camera and lens attachment for fingerprint photography

   There are many special fingerprint cameras equipped with special lenses designed to produce the one-to-one magnification. These special lenses are either close-up lenses used for close-up photography or extension tubes (or bellows) for macrophotography. For specific instructions on how to use the special camera and special lenses, you should refer to the manufacturer's technical manuals.

   When using close-up lenses, you should select the combination that can produce the desired one-to-one magnification by using the chart and following the lens manufacturer's instructions. Since the combination will require a measured distance, you may need to use a copy stand, a tripod, or an extension frame to steady the camera.

   When using macroextension tubes, you should follow the specific instructions that come with the equipment to set up and determine exposure time. Usually there is no problem in setting the distance for one-to-one magnification.

   Many special fingerprint cameras are good for taking photographs of latent, lifted, or ink-rolled fingerprints. Some one-to-one cameras produce instant photographs as well as negatives that can be used for contact prints and enlargements (see Figure B-4-4).

   As in all comparative examinations, a ruler **must** be included next to the print in order to indicate actual size.

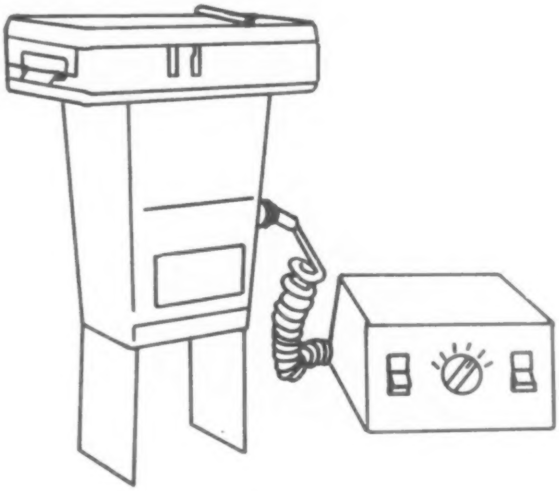

Figure B-4-4
A Typical One-to-One Camera

NOTE: 1. You will need black-and-white film and polycontrast enlarging paper for fingerprint photography.

2. For this program, you should use the camera equipment your school has available. You will probably have at least one set of close-up lenses, which usually includes three lenses. When all three are used together, you can achieve the greatest magnification. But, if you have macroextension tubes or bellows, you will be able to obtain even greater magnification.

2. Courtroom displays of fingerprint photographs

In order to display photographs of latent and ink-rolled fingerprints in a courtroom, basically you should do the following:

- Enlarge the photograph of each type of fingerprint.
- Prepare a master by mounting enlargements of both prints side by side on a card (8 x 10-inch).
- Prepare vertical rows of numbers on the edges of both prints.
- Identify specific characteristics on both prints by drawing a line from each characteristic to a number.
- Photograph the master.

NOTE: See Figure B-4-5 for an example of a photograph of latent and ink-rolled fingerprints for courtroom display.

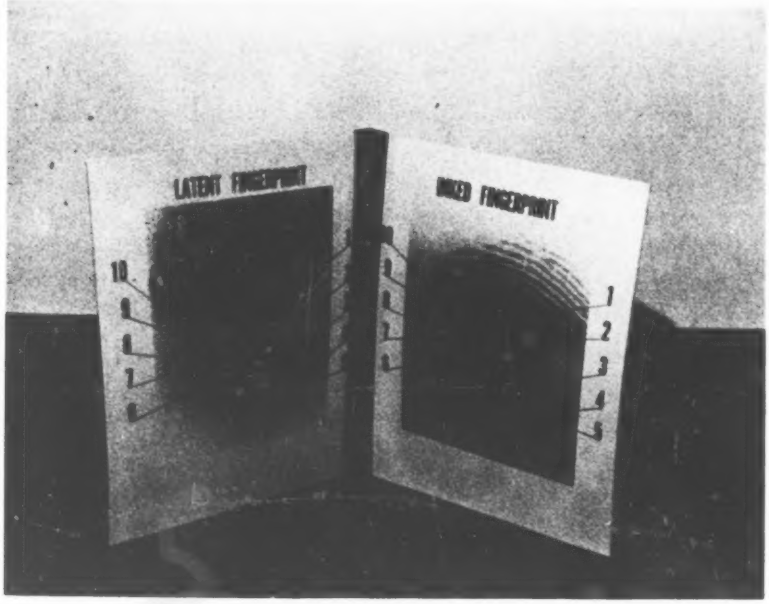

Figure B-4-5
Photographs of Latent and Ink-Rolled
Prints for Courtroom Display

Crime-Scene (or Accident-Scene) Photography

As soon as you arrive at the crime scene you, as an officer, should take pictures of the entire scene from many different angles to establish the relationship of evidence to the overall circumstances. Crime-scene photography requires orientation photographs, entrance/exit path photographs, overall shots, midrange reference shots, and close-up detail shots. Two techniques can be used to record a total scene with a minimum number of overall shots. You can stand in the middle and take overlapping panoramic views (see Figure B-4-6), or you can traverse the outside edge of the scene taking overlapping shots (see Figure B-4-7). These techniques were described in Block I, Law Enforcement.

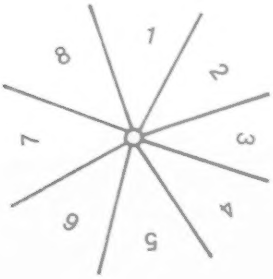

Figure B-4-6
Technique for Taking Overlapping Panoramic
Photographs from Center Position

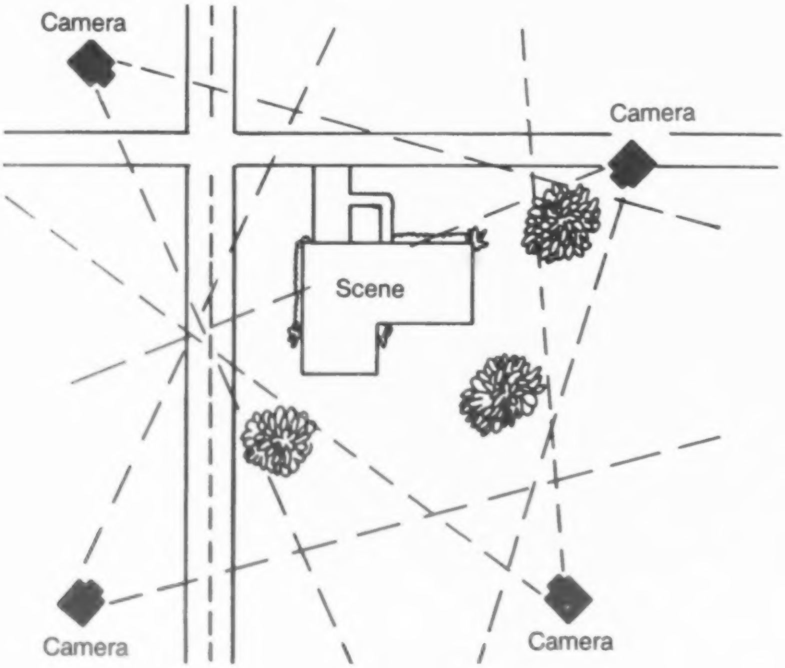

Figure B-4-7
Technique for Taking Overlapping Panoramic Photographs from Outside Edge of Scene

In order to take crime-scene photographs (see Figure B-4-8), you will probably need to use all of the photographic skills you have learned. You may need to use a normal lens with maximum depth of field (f/16 or f/22) for overall views, a close-up lens for some small items of physical evidence, as shown in Figure B-4-9, and macroextension devices for very small items.

Figure B-4-8
A Crime-Scene Photograph

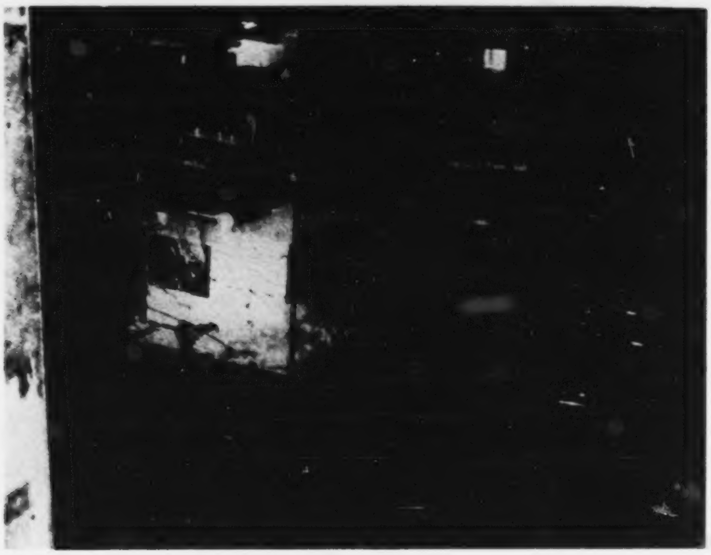

Figure B-4-9
Physical Evidence at the Crime Scene

Summary

Forensic science, which is concerned with comparative analysis, often requires magnification of an evidence item and of another item associated with a suspect. The class and individual characteristics of these items can be better compared when some level of magnification is used. Photography can serve this magnification requirement in any of four levels: normal-lens magnification, close-up photography, macrophotography, and microphotography (see Figure B-4-10).

Level of Magnification	Magnification Range	Example Items	Supplemental Equipment
normal-lens magnification photography	up to 0.1 (10%)	footprints, tire impressions, bullet holes, wounds	none (normal lens)
close-up photography	0.1 to 1.0 (10%-100%)	hairs, fibers	close-up lens set
macrophotography	1.0 to over 10.0 (actual size to over 10 times actual size)	fingerprints, tool marks, very small fibers	spacer rings, extension tubes, bellows extension
microphotography	10 to 1000 times larger than actual size	blood cells, strands of hair	microscope

Figure B-4-10
Four Magnification Levels of Evidence Photography

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Fingerprint photography is a necessary skill in forensic photography. It enables officials to preserve fingerprint evidence and to display a comparison of latent fingerprints with ink-rolled fingerprints in a courtroom. When taking fingerprints, you may use a camera equipped with special lenses designed to produce one-to-one magnification.

Crime-scene photography is important in establishing the relationship of evidence to the overall circumstances. To take a crime-scene photograph, you may need to use all of the photographic skills you have learned.

Now complete the review questions beginning on the next page.

Review Questions (VI: B-4)

Write your answers on a separate sheet of paper.

1. If you want to photograph an item to show 10 percent of its actual size **without** any special device, you should:
   - a. set the camera at the largest f-number.
   - b. set the camera at the smallest f-number.
   - c. focus the camera to the closest marked distance on the focusing ring.
   - d. use the slowest shutter speed.

2. In order to achieve the effect of greater magnification with a normal lens, what should you do?
   - a. Produce a contact print.
   - b. Enlarge the photograph.
   - c. Produce a color photo.
   - d. Place a ruler alongside the item being photographed.

For questions 3–6, match the magnification levels of evidence photography with magnification ranges.

Magnification Levels	**Magnification Ranges**
3. normal-lens magnification	a. actual size (1.0) to over 10 times actual size
4. microphotography	b. 10% to 100% actual size
5. close-up photography	c. up to 10% actual size
6. macrophotography	d. 10 to 1000 times actual size

7. Which type of photography is usually used to show the exact position of evidence before it is touched?
   - a. normal-lens magnification photography
   - b. crime-scene photography
   - c. macrophotography
   - d. microphotography

8. Which level of magnification is used for items that are too small for close-up photography but too large for microphotography?
   - a. normal-lens photography
   - b. semi-close-up photography
   - c. macrophotography
   - d. photomicrography

9. Microphotography is:

   a. close-up photography with a normal lens.
   b. photography with a microscope.
   c. photography using close-up lenses.
   d. photography using extension devices.

10. Which of the following are examples for which comparative photography can be used? (Choose **all** correct answers.)

    a. The misshaped letters "O," "t," and "w" appearing in a ransom note are matched with a sample typed on the suspect's typewriter.
    b. The blood type of the skin tissue under the victim's fingernails is matched with the blood type of the suspect's tissue.
    c. Broken eyeglasses at the scene are matched with the victim's prescription.
    d. Torn paper held by the victim is matched with a torn sheet in the suspect's pocket.

11. Which of the following items can be photographed for comparison in courtroom exhibits? (Choose **all** correct answers.)

    a. skid marks in an accident scene
    b. a broken headlight lens
    c. a broken knife blade
    d. foot and tire impressions

12. Which of the following magnifications is most desirable for photographing fingerprints?

    a. actual size, or one-to-one
    b. the closest to 11 percent of actual size
    c. anywhere from 0.1 to 0.5
    d. over 1.5

13. Which of the following must be done to prepare a master copy of a fingerprint comparison for a courtroom exhibit? (Choose **all** correct answers.)

    a. Mount enlargements of latent and rolled prints side by side.
    b. Prepare a vertical row of numbers in the center.
    c. Draw in lines identifying the special characteristics in both prints, then photograph.
    d. Use colored card or board.

14. Which of the following may be required for full photographic coverage of an auto-accident scene? (Choose **all** correct answers.)

    a. a normal lens for overall views
    b. a close-up lens for some physical evidence
    c. macroextension devices for very small items
    d. a microscope

15. In order to get maximum depth of field in photographing accident scenes or crime scenes, you should use:

    a. close-up lenses.
    b. f/8.
    c. the largest f-number.
    d. the smallest f-number.

Check your answers with the correct ones provided in the answer key. Then do the practical exercise on the following page.

Practical Exercise (VI: B-4)

1. Discuss the project for the practical exercise with your instructor, and make arrangements for your access to camera, necessary supplies, equipment, and darkroom facilities.

2. Take pictures of an item of evidential value for each of the following:

   a. normal-lens magnification photography (example item: scar on a victim)
   b. close-up photography (example items: hairs, fibers)
   c. macrophotography (example item: markings left by a knife)

3. Take pictures of items (example items: broken knife blade, broken headlight, serial number alteration, typewriting, handwriting) for evidence comparison (comparative photography).

4. Take pictures of fingerprints for a fingerprint comparison that would be satisfactory for courtroom presentation. This project should include:

   a. a photograph of a developed latent impression
   b. a photograph of an ink-rolled impression of a fingerprint showing the area matching the latent impression
   c. a master with these two impressions mounted side by side and a series of numbered lines indicating the matching characteristics
   d. an 8 x 10-inch photograph of the master.

5. Take pictures of a mock crime scene or vehicle-accident scene. (The number of photographs will depend upon the situation being photographed.) The photographs can include:

   a. entrance/exit-path shots
   b. overall shots
   c. midrange reference shots
   d. close-up detail shots.

   NOTE: If it is not practical to photograph a mock crime or accident scene, your instructor may ask you to skip this part of the exercise.

6. Produce enlargements of the pictures you have taken.

7. Discuss your products and your work with your instructor, and refine your skills.

NOTE: This practical exercise may be done either as a group project or as an individual project.

If you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: B-4).

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Action: the movement of the subject within the camera's field of view.

Adjustable camera: a camera with manually adjustable distance settings, lens openings, and shutter speeds.

Adjustable-focus lens: a lens that has adjustable distance settings.

Agitation: the process of keeping the developer, stop bath, or fixer in gentle motion while processing film or paper. Agitation helps to speed the process, ensure even development, and prevent spotting or staining.

Aperture: lens opening; the opening in a lens system through which light passes. The size of the aperture may be fixed or adjustable. Lens openings are usually calibrated in f-numbers.

Automatic camera: a camera with a built-in exposure meter that automatically adjusts the lens opening, shutter speed, or both, for proper exposure.

Backlighting: light shining on the subject from the direction opposite the camera rather than from the front (frontlighting) or from the side (sidelighting).

Bellows: the folding portion in some cameras that connects the lens to the camera body.

Between-the-lens shutter: a shutter whose blades operate between the elements of the lens.

Camera angles: various positions of the camera (high, medium, or low; and left, right, or straight on) with respect to the subject, each giving a different viewpoint or effect.

Clearing agent: a chemical that neutralizes hypo in film or paper, reducing washing time and helping to provide a more stable image.

Close-up: a picture taken with the camera close to the subject.

Close-up lens: a lens attachment placed in front of a camera lens to permit taking pictures at a closer distance than the camera lens alone will allow.

Contact print: a print made by exposing photographic paper while it is held tightly against the negative. Images in the print will be the same size as those in the negative.

Contrast: the degree of difference between the lightest and darkest parts of a picture (negative, print, or slide).

Contrasty: having great contrast between light and dark areas in a picture.

Depth of field: the distance range between the nearest and farthest objects that appear in acceptably sharp focus in a photograph. For all practical purposes, it depends on the lens opening, the focal length of the lens, and the distance from the lens to the subject.

Developer: a solution used to turn the latent image into a visible image on exposed film or photographic paper.

Developing tank: a lighttight container used for processing film.

Diaphragm: a perforated plate or adjustable opening mounted behind or between the elements of a lens; used to control the size of the aperture.

Emulsion: a thin coating of light-sensitive material, usually silver halide in gelatin, in which the image is formed on film and photographic paper.

Emulsion side: the side of the film or paper coated with emulsion. (In contact printing and enlarging, the emulsion side—dull side—of the film should face the emulsion side—shiny side—of the photographic paper.)

Enlargement: a print or portion of a print that is larger than the negative or slide; a blowup.

Enlarger: a device consisting of a light source, a negative holder, a lens, and a means of adjusting these to project an enlarged image from a negative onto a sheet of photographic paper.

Etching: scraping black spots off a print or negative with a special knife.

Exposure: the total quantity of light allowed to act on a photographic material; a product of the intensity, or amount (controlled by the lens opening), and the duration (controlled by the shutter speed or enlarging time) of light striking the film or paper.

Exposure meter: an instrument with a light-sensitive cell that measures the light reflected from or falling on a subject; used as an aid to selecting the exposure setting. Also called a "light meter."

Extension frame: a frame of fixed length that attaches to the camera to steady it and to measure the distance to the object being photographed; often used in 1:1 photography such as in fingerprint work.

Extension tube: a tube of fixed length designed to move the lens farther from the film in order to increase the magnification.

Film leader: a length of protective film at the beginning of a roll of unexposed or processed film.

Film speed: the sensitivity of a given film to light, indicated by a number; the higher the number, the more sensitive, or "faster," the film.

Fixed-focus lens: a lens that has been focused in a fixed position by the manufacturer. The user does not have to adjust the focus with this type of lens.

Fixing bath: a solution that removes any light-sensitive salt not acted upon by light or developer, leaving a black-and-white negative or print unalterable by further action of light.

Flash: a brief, intense burst of light produced by a flashbulb or an electronic flash unit, usually used where the lighting on the scene is inadequate for picture taking.

Flat lighting: lighting that produces very little contrast or modeling on the subject and a minimum of shadows.

F-number: a number used to indicate the size and light-gathering capacity of the lens opening on most adjustable cameras. Common f-numbers are f/2.8, f/4, f/5.6, f/8, f/11, f/16, and f/22. The larger the f-number, the smaller the lens opening. In this series, f/2.8 is the largest lens opening and f/22 is the smallest lens opening. These numbers indicate the ratio of the focal length of the lens to the effective diameter of the lens opening. F-numbers help you get the right exposure.

Focal length: the distance from the lens to the film plane (a point behind the lens where light rays are focused) when the distance scale is set on infinity. Focal length determines image size at a given lens-to-subject distance.

Focal-plane shutter: an opaque curtain containing a slit that moves directly in front of the film in a camera and allows image-forming light to strike the film.

Focus: the adjustment of the distance setting on a lens so that the subject is sharply defined.

Forensic: belonging to or used in legal matters. Examples include forensic science, forensic medicine, forensic engineering, forensic photography, and forensic chemistry.

Frame: one individual picture on film.

Frontlighting: light shining on the subject from the direction of the camera.

F-stop scale: the scale on the camera used for setting f-numbers.

Graininess: the sand-like or granular appearance of a negative, print, or slide resulting from the clumping of silver grains during development of the film. Graininess becomes more pronounced as the speed of the film, the density in the negative, and the degree of enlargement increase.

Hypo: the name for a fixing bath made from sodium thiosulfate.

Lens: one or more pieces of optical glass or similar material designed to collect and focus rays of light to form a sharp image on the film, paper, or projection screen.

Lens speed: the light-gathering capacity of a film. A "fast" lens has a larger opening and thus transmits more light than a "slow" lens.

Lighting: the illumination falling on a subject; used particularly with reference to the direction or arrangement of the illumination.

Light meter: see "exposure meter."

Lighttight: lightproof.

Macrophotography: photography in which objects photographed are shown either life-size or larger, up to a limit of about ten times life-size; also called "photomacrography."

Microphotography: photography with the use of a microscope.

Negative: film that has been exposed to light and then developed. The result is a reversed tone image of the original scene, so that light areas in the original scene are dark on the negative film and dark areas in the original scene are light on the negative film. Dark areas on the negative become light areas on the print (and vice versa), thus the term "negative."

Negative (film) holder: a device designed to hold the negative in a proper position in an enlarger.

Normal lens: a lens that makes the image in a photograph appear in a perspective similar to that of the original scene. A normal lens has a shorter focal length and a wider field of view than a telephoto lens and a longer focal length and narrower field of view than a wide-angle lens.

Polycontrast paper: photographic paper that provides different grades of contrast when exposed through special filters.

Printing box: a device used for contact printing and consisting of a lighttight box with an internal light source and a frame to position the negative against the photographic paper in front of the light. It contains an adjustable mask to create a white border on the prints.

Printing frame: a device used for contact printing to hold a negative against the photographic paper. The paper is exposed by light from an external light source.

Reflex camera: a camera in which the scene to be photographed is reflected by a mirror onto a glass where it can be focused and composed. In a reflex movie camera or a single-lens reflex camera (SLR), the scene is viewed through the same lens that takes the picture; with a twin-lens reflex camera (TLR), the scene is viewed through the top lens, and the picture is taken through the bottom lens.

Safelight: an enclosed darkroom lamp fitted with a filter to screen out light rays to which film and paper are sensitive.

Shutter: blades, a curtain, a plate, or some other movable cover in a camera that controls the length of time that light is allowed through the lens.

Shutter speed: the length of time during which light is allowed through the lens.

Sidelighting: light striking the subject from the side relative to the position of the camera. Use of sidelighting produces shadows and highlights to create modeling on the subject.

Single-lens camera: a camera with a single lens. The photographer views an object through the same lens that takes the picture.

Soft lighting: low or moderate lighting that creates faintly defined contrasts.

Stain: discolored area on film or paper, usually caused by contaminated developing solution or by insufficient fixing, washing, or agitation.

Stop bath: an acid rinse, usually a weak solution of acetic acid, used as a second step when black-and-white film or paper is developed. It stops development and makes the hypo last longer.

Synchronize: to cause to happen at the same time; to make simultaneous.

Telephoto lens: a lens that makes a subject appear larger on film than would a normal lens at the same camera-to-subject distance. A telephoto lens has a longer focal length and narrower field of view than a normal lens.

Tripod: a three-legged supporting stand used to hold the camera steady.

Twin-lens camera: a camera with two lenses, one of which places an image on the film and the other of which is used for viewing the subject.

Viscose: having an adhesive, sticky, or gummy quality.

Wide-angle lens: a lens that has a shorter focal length and a wider field of view (includes more subject area) than a normal lens.

Adapted from A Glossary of Photographic Terms. Kodak Publication No. AA-9. Rochester, N.Y.: Eastman Kodak Company, Consumer Markets Division. Used with permission.

Block VI: Criminalistics
Unit C: Fingerprint Technology
Section 1: Taking Fingerprints

Ask your instructor for the pretest for this section (VI: C-1). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

No two individuals have identical fingerprints. This uniqueness makes fingerprints one of the most reliable forms of evidence in a criminal case. To serve this purpose, fingerprints must be taken clearly and properly on a fingerprint card.

When you take a fingerprint, whether it is for a criminal or noncriminal process, you should follow these steps:

1. Record personal history such as name, age, race, sex, and address.
2. Take the subject's photograph and attach it to the fingerprint card.
3. Roll fingerprints in the spaces provided on the card.
4. Label fingerprint patterns for identification of pattern type and value symbols.
5. Record the classification formula on the classification line on the card.

The completed fingerprint cards are sent to three locations: the FBI's national repository in Washington, D.C., the identification bureau of the state where the crime was committed, and the local law enforcement office where the fingerprints were taken. Usually, the law enforcement officer is not certain of an arrested person's identity until it is confirmed from the fingerprint search. Therefore, taking good fingerprints, being able to identify fingerprint types, and properly recording classification data are skills the law enforcement officer must have.

In this unit, you will learn how to (1) roll fingerprints properly and clearly; (2) identify fingerprint patterns by making ridge counts of all loop patterns and tracing ridges for all whorl patterns for labeling on the card; and (3) determine the classification formula to be recorded on the card.

Although fingerprints are one of the most reliable methods of personal identification, this potential is useless if the prints on file are not of good quality, not properly inked, or not fully rolled. Careful craftsmanship is necessary for producing good fingerprints.

In this first section of Unit C, you will learn how to take good fingerprints by using the proper equipment and tools and by applying proper techniques of inking and rolling. Upon completion of this section, you will need to produce five sets of fingerprints (three for the practical exercise and two for the performance test) which you will use in the next two sections for identifying and classifying fingerprints.

NOTE: There are a few private organizations in the nation that offer fingerprint technology training. Most people, however, are trained by the Federal Bureau of Investigation (FBI) or a state bureau. If you have an interest in fingerprint technology, this unit should give you some insight into the technical nature of fingerprint technology and into the type of training you will need to acquire.

Many illustrations of fingerprints in this unit are from The Science of Fingerprints: Classification and Uses, Federal Bureau of Investigation, U.S. Department of Justice, 1984.

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Identify the five items of equipment necessary for taking fingerprints.
2. Identify in sequence the tasks involved in taking a good set of fingerprints.
3. Identify at least four common rules to follow for high-quality fingerprints.

Performance Objectives

Given the necessary fingerprinting equipment and subjects, produce **two** sets (cards) of fingerprints. You will be evaluated on the tasks listed below. Your performance of all tasks and the quality of the product on both cards should be rated "A" (acceptable).

Tasks:

1. Record the subject's history.
2. Set up the work station properly.
3. Use the correct type of ink.
4. Use the correct amount of ink and roll a thin, even layer.
5. Locate the subject properly.
6. Clean the subject's fingertips properly.
7. Ink fingers properly by applying the right amount of pressure without slip and fully rolling them side to side.
8. Record the rolled impressions in the correct sequence in the ten spaces on the fingerprint card.
9. Provide the subject with cleaning materials.
10. Clean the work station.
11. Perform tasks in an acceptable amount of time.

Products:

1. complete
2. legible
3. clear

NOTE: Keep the fingerprint cards you have completed because you will use them for the next two sections.

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When you take the fingerprints, you first take **rolled impressions** of ten fingers individually in the sequence of the **right** thumb, index, middle, ring, and little finger, then **left** thumb, index, middle, ring, and little finger. After taking rolled impressions of ten fingers individually, you will take **flat impressions** (also called plain impressions) of the four fingers of each hand simultaneously (right hand first and then the left). Then take flat impressions of the right thumb and the left thumb.

In taking rolled impressions, you roll the fingers on the inking plate and then on the fingerprint card. However, for flat impressions you do **not** roll the fingers. You will use the flat impressions to decide whether the rolled impressions are recorded in the proper sequence, starting from the right thumb and ending with the left little finger, by comparing the flat impressions with the rolled impressions.

The following procedure is the basic guideline for taking good fingerprints:

STEP 1: Record the subject's personal history—name, age, race, sex, and address—on the fingerprint card. The subject's photo should be attached to the card.

STEP 2: Set up the following equipment:

- **Inking plate:** Make sure that the inking plate is located on the edge of a counter at about elbow height.

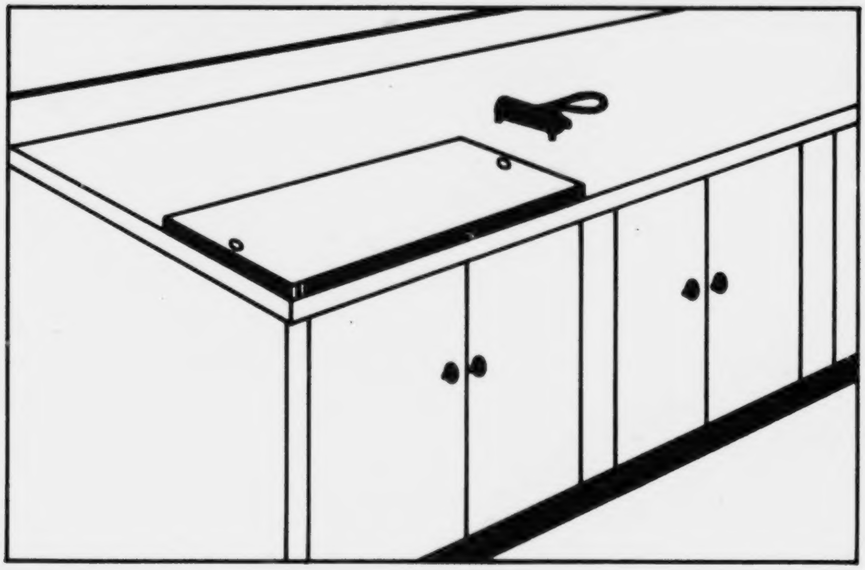

Figure C-1-1
Inking Plate

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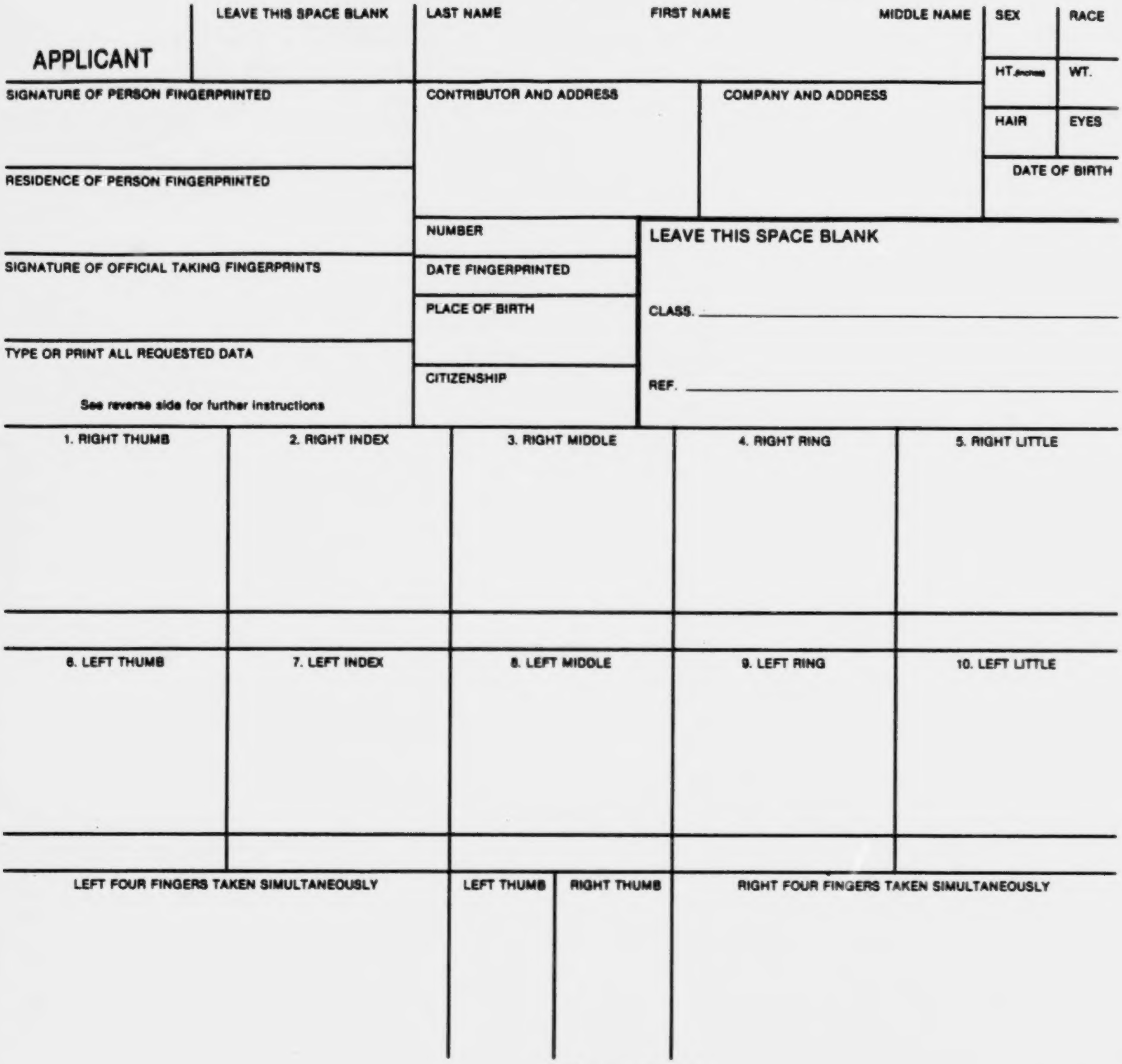
- **Fingerprint cards:** Use standard eight-by-eight-inch cards because this size has been adopted by all agencies maintaining fingerprint files. A card is uniformly divided into ten spaces for rolled impressions and two larger spaces at the bottom for flat impressions, as shown in Figure C-1-2. Numbering sequence for the rolled impression is as follows:

1 - right thumb
2 - right index finger
3 - right middle finger
4 - right ring finger
5 - right little finger
6 - left thumb
7 - left index finger
8 - left middle finger
9 - left ring finger
10 - left little finger

NOTE: The index finger is called the forefinger.



APPLICANT

LEAVE THIS SPACE BLANK

LAST NAME
FIRST NAME
MIDDLE NAME

SEX
RACE
HT. (inches)
WT.
HAIR
EYES
DATE OF BIRTH

SIGNATURE OF PERSON FINGERPRINTED

CONTRIBUTOR AND ADDRESS

COMPANY AND ADDRESS

RESIDENCE OF PERSON FINGERPRINTED

NUMBER

DATE FINGERPRINTED

PLACE OF BIRTH

CITIZENSHIP

SIGNATURE OF OFFICIAL TAKING FINGERPRINTS

TYPE OR PRINT ALL REQUESTED DATA

See reverse side for further instructions

LEAVE THIS SPACE BLANK

CLASS. ________________

REF. ________________

1. RIGHT THUMB	2. RIGHT INDEX	3. RIGHT MIDDLE	4. RIGHT RING	5. RIGHT LITTLE
6. LEFT THUMB	7. LEFT INDEX	8. LEFT MIDDLE	9. LEFT RING	10. LEFT LITTLE

LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY	LEFT THUMB	RIGHT THUMB	RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY

Figure C-1-2
Sample Fingerprint Card

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- **Card holder**

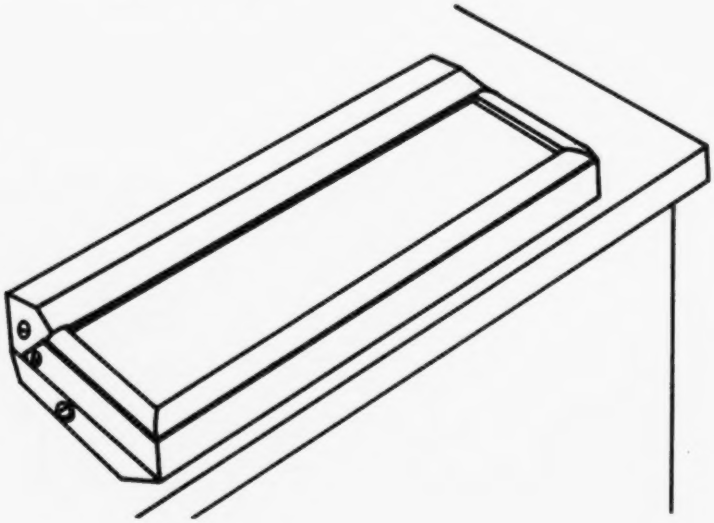

Figure C-1-3
A Fingerprinting Card Holder

- **Roller**

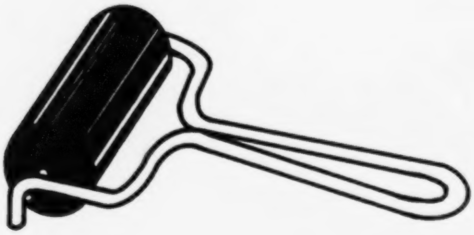

Figure C-1-4
Roller

- **Printer's ink:** a heavy black paste.
- **Cleaning materials:** a container of denatured alcohol or hand cleaner and paper towels to clean the subject's fingertips and your hands.

STEP 3: Place a fingerprint card in the holder with the right-hand fingerprint spaces at the top.

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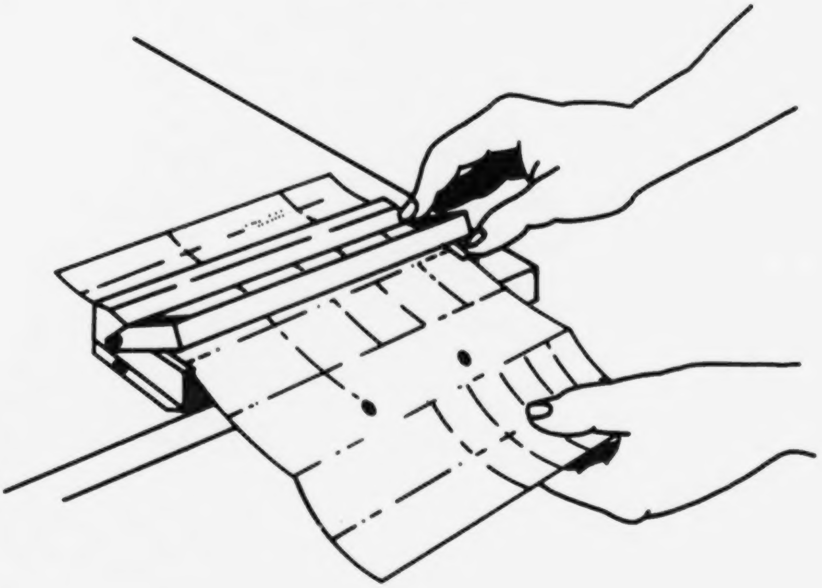

Figure C-1-5
Placing a Fingerprint Card in the Holder

STEP 4: Ink the inking plate in the following manner:

- Place a very small dab (one-quarter- to one-half-inch in length) of printer's ink on the inking plate. If you use unsuitable ink, the fingerprint will not be clear.
- Thoroughly roll this ink until a very thin, even film covers the entire surface.

STEP 5: Clean the subject's fingertips with alcohol.

STEP 6: Place the subject in front of the inking plate at a forearm's length. Allow the subject to move slightly behind you to put you and the subject in a comfortable position to roll the right fingers.

STEP 7: Ink the right thumb. Do this as follows:

- Place the right thumb on the inking plate, making sure to cover the area from the tip to just below the first joint of the thumb.
- Hold the subject's finger firmly with your right thumb and index finger as shown in Figure C-1-6.
- Roll the finger from one side of the nail to the other. This process relieves strain and leaves the finger relaxed when the subject completes rolling the finger.

NOTE: The degree of pressure exerted in inking is very important. Do not allow the subject to apply any pressure.

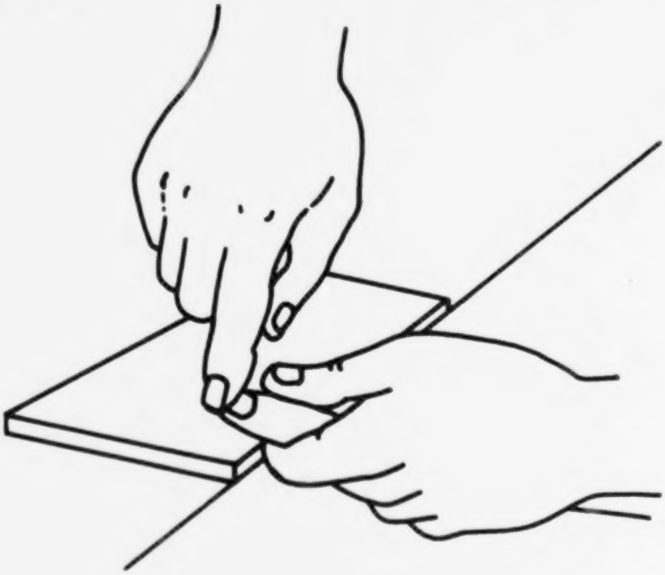

Figure C-1-6
Inking the Right Thumb

STEP 8: Take a **rolled impression** of the right thumb. Do this as follows:

- Stand on the left side of the subject when taking right fingerprints.
- Make sure the positions of the subject and you, the technician, are natural and relaxed.
- Roll the thumb from one side of the nail to the other side, **toward** the center of the subject's body, as you did when inking. Clasp the thumb with your right thumb and index finger and apply a very slight amount of pressure.

CAUTION: Do not slip or twist the thumb.

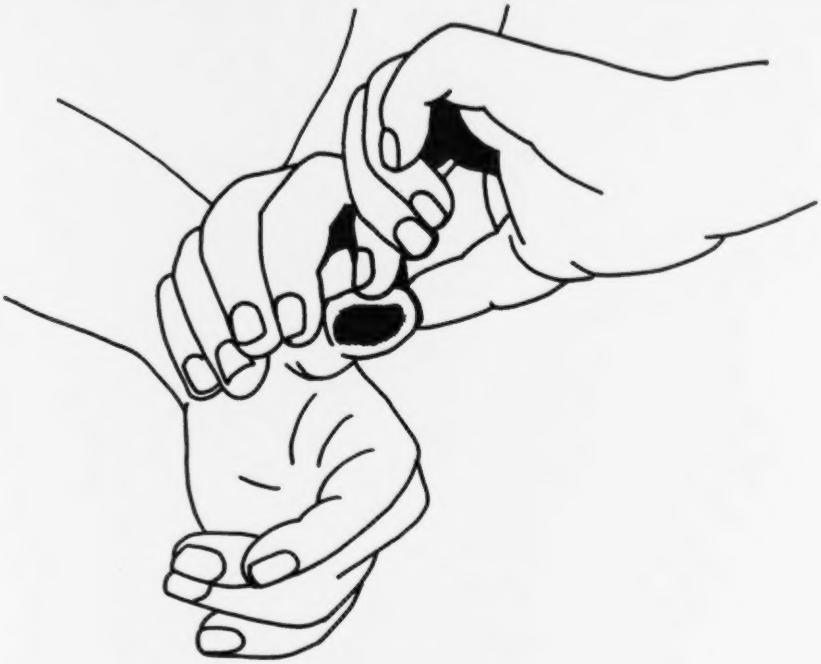

Figure C-1-7
Rolling the Thumb

STEP 9: Ink and take rolled impressions of other **right fingers**, in the order of index, middle, ring, and little finger. Follow the same procedure you used for the thumb. However, when you roll the fingers, you should roll them **away from** the center of the body.

STEP 10: After completing the right-hand fingers, move the subject one step to the side to allow you, the technician, and subject to stand comfortably.

STEP 11: Ink and take rolled impressions of the **left fingers** in the order of thumb, index, middle, ring, and little finger. Follow the same procedure you used to take the right fingers. However, stand at the right side of the subject when taking left fingerprints.

STEP 12: Take **flat impressions** of the four right fingers. Do this as follows:

- Place the four fingers flat, except the thumb, simultaneously on the inking plate without rolling.
- Take the flat impressions of the four right fingers simultaneously in the proper box on the fingerprint card.

STEP 13: Take flat impressions of the four left fingers in the proper box on the card.

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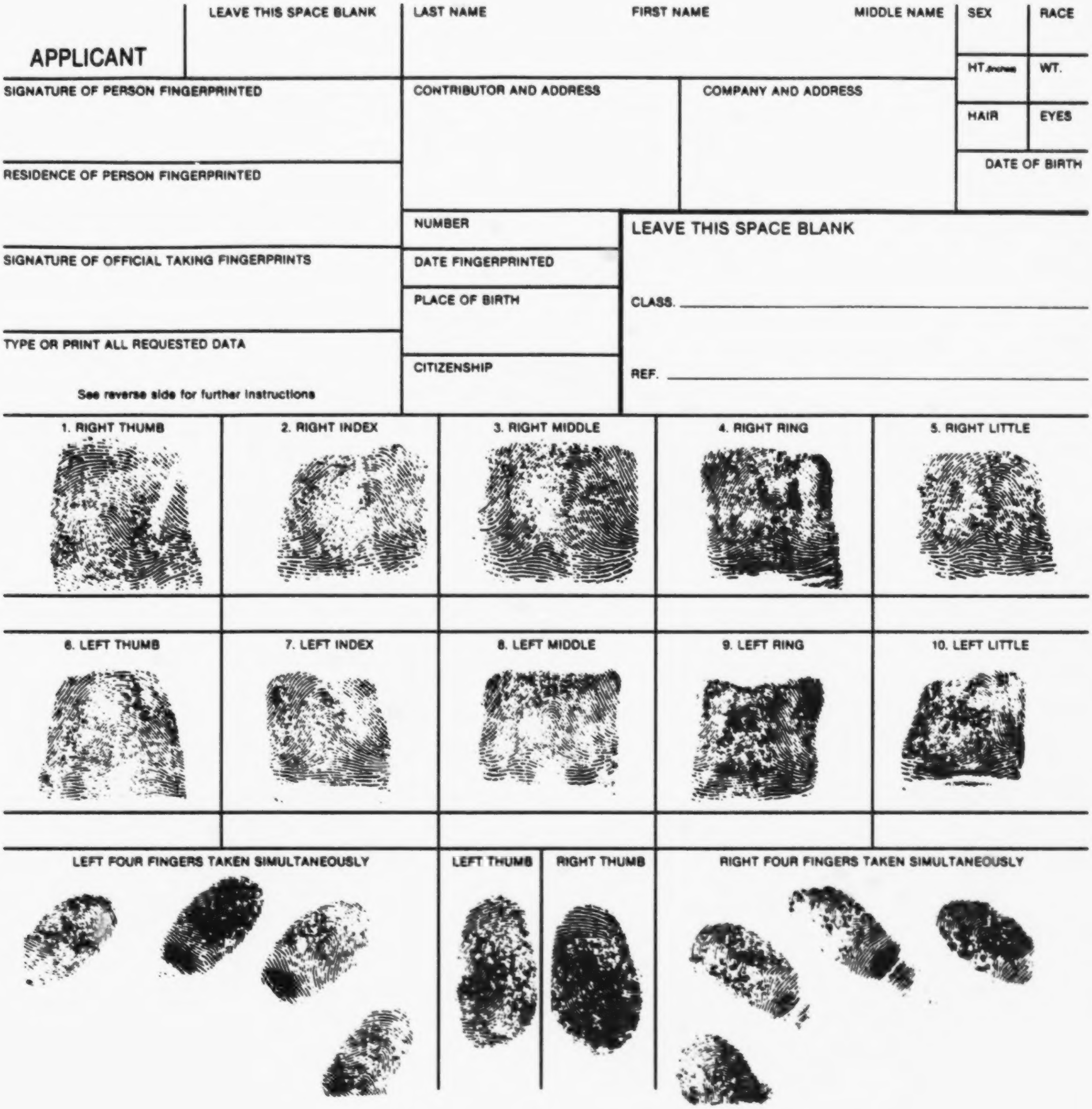
STEP 14: Take flat impressions of the right thumb and the left thumb, without rolling, in the proper boxes on the card.

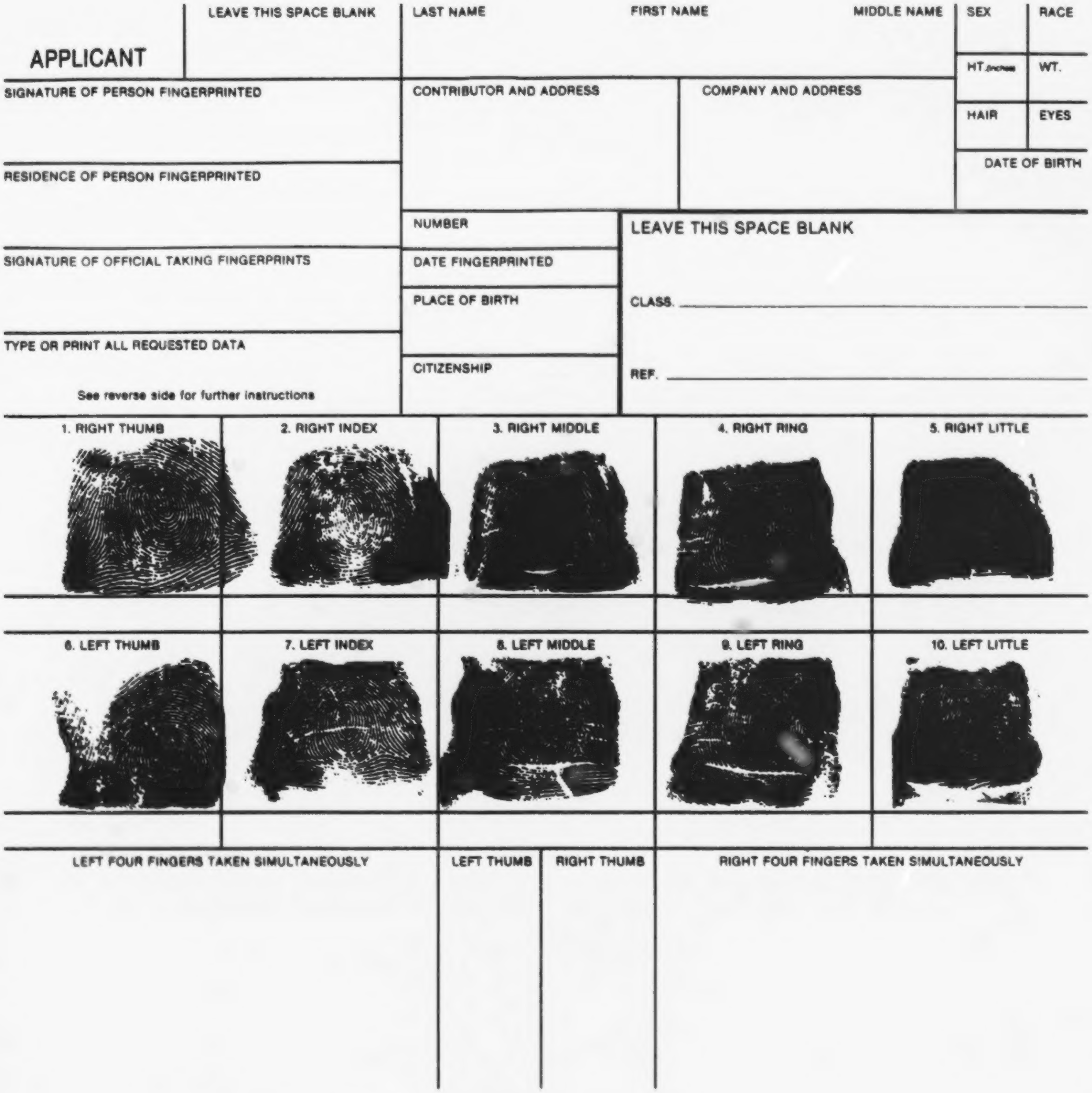
STEP 15: Check to see that all impressions are legible, clear, fully rolled, and properly inked, as shown in Figure C-1-8.



APPLICANT
LEAVE THIS SPACE BLANK
LAST NAME
FIRST NAME
MIDDLE NAME
SEX
RACE
HT. inches
WT.
SIGNATURE OF PERSON FINGERPRINTED
CONTRIBUTOR AND ADDRESS
COMPANY AND ADDRESS
HAIR
EYES
DATE OF BIRTH
RESIDENCE OF PERSON FINGERPRINTED
NUMBER
LEAVE THIS SPACE BLANK
SIGNATURE OF OFFICIAL TAKING FINGERPRINTS
DATE FINGERPRINTED
PLACE OF BIRTH
CLASS. ______
TYPE OR PRINT ALL REQUESTED DATA
CITIZENSHIP
REF. ______
See reverse side for further instructions

1. RIGHT THUMB
2. RIGHT INDEX
3. RIGHT MIDDLE
4. RIGHT RING
5. RIGHT LITTLE
6. LEFT THUMB
7. LEFT INDEX
8. LEFT MIDDLE
9. LEFT RING
10. LEFT LITTLE
LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY
LEFT THUMB
RIGHT THUMB
RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY

Figure C-1-8
Properly Inked, Rolled, and Flat Impressions



APPLICANT

LEAVE THIS SPACE BLANK	LAST NAME FIRST NAME MIDDLE NAME		SEX	RACE
SIGNATURE OF PERSON FINGERPRINTED	CONTRIBUTOR AND ADDRESS	COMPANY AND ADDRESS	HT. (inches)	WT.
RESIDENCE OF PERSON FINGERPRINTED			HAIR	EYES
			DATE OF BIRTH	

SIGNATURE OF OFFICIAL TAKING FINGERPRINTS	NUMBER	LEAVE THIS SPACE BLANK
	DATE FINGERPRINTED	
	PLACE OF BIRTH	CLASS.
TYPE OR PRINT ALL REQUESTED DATA See reverse side for further instructions	CITIZENSHIP	REF.

1. RIGHT THUMB	2. RIGHT INDEX	3. RIGHT MIDDLE	4. RIGHT RING	5. RIGHT LITTLE
6. LEFT THUMB	7. LEFT INDEX	8. LEFT MIDDLE	9. LEFT RING	10. LEFT LITTLE

LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY	LEFT THUMB	RIGHT THUMB	RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY

Figure C-1-9
Rolled Impression with Too Much Ink

Summary

You will need the following **supplies** for taking fingerprints:

1. inking plate
2. fingerprint cards and a card holder
3. printer's ink
4. roller
5. container of denatured alcohol and paper towels

The basic **procedures** are as follows:

1. Place the fingerprint card in a holder.
2. Ink the plate.
3. Clean the subject's fingertips.
4. Ink the fingers and record their prints in the proper sequence (rolled and then flat impressions), applying only a slight amount of pressure.

Pay attention to the following **rules**:

1. Ink the plate completely and evenly.
2. Use the right kind and the right amount of ink.
3. Do not allow fingers to slip or twist.
4. Clean the subject's fingertips and equipment.

Now complete the review questions beginning on the next page.

Review Questions (VI: C-1)

Write your answers on a separate sheet of paper.

1. List **five** supplies needed for taking fingerprints.

2. What is the correct sequence of steps for taking fingerprints? Write the letters **a-f** on your paper. Then write the numbers **1-6** next to the appropriate letters to indicate the sequence in which the prints should be taken.

   a. left hand fingers individually
   b. right hand fingers individually
   c. left thumb flat impression
   d. left four fingers simultaneously
   e. right four fingers simultaneously
   f. right thumb flat impression

3. There are three sections **(A, B, C)** listed on the fingerprint card shown below. Write the words **rolled** and **flat** on your paper. Then indicate for which sections you should take rolled impressions or flat impressions by writing the letter **(A, B, C)** next to the correct word on your paper.

A	1. RIGHT THUMB	2. RIGHT INDEX	3. RIGHT MIDDLE	4. RIGHT RING	5. RIGHT LITTLE
B	6. LEFT THUMB	7. LEFT INDEX	8. LEFT MIDDLE	9. LEFT RING	10. LEFT LITTLE
C	LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY		LEFT THUMB	RIGHT THUMB	RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY

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4. To ink the fingers for rolled impressions, you need to cover from the tip of each finger to the area:

   a. just above the first joint of the finger.
   b. just below the first joint of the finger.
   c. just above the second joint of the finger.
   d. just below the second joint of the finger.

5. When you take the rolled impression of the left thumb, in which direction should you roll it?

   a. toward the center of the subject's body
   b. away from the subject's body
   c. toward the subject's body and then away from it
   d. any direction

6. When you ink and record the prints of the fingers, how much pressure should the **subject** apply?

   a. as much as the subject wants
   b. same amount of pressure one would apply to test the sturdiness of a cardboard box
   c. it depends upon the subject's weight
   d. no pressure at all

7. When you record the prints of the four fingers simultaneously, which type of impression are you taking?

   a. rolled impression
   b. flat impression
   c. either rolled or flat impression
   d. neither rolled nor flat impression

8. When you take the right fingerprints, on which side of the subject should you stand?

   a. left of the subject
   b. right of the subject
   c. either right or left of the subject
   d. neither right nor left of the subject

9. Write the letters **a–e** on your paper. Then write the numbers **1–5** next to the appropriate letters to indicate the proper sequence of steps for taking fingerprints.

   a. clean subject's fingers
   b. take flat impressions
   c. place fingerprint card in the holder
   d. ink the plate
   e. take rolled impressions

10. List **four** common errors that occur when taking fingerprints.

Check your answers with the correct ones provided in the answer key. Then do the practical exercise on the next page.

Practical Exercise (VI: C-1)

Produce **three** sets of fingerprints, using the equipment and handling the subject properly. Check your work with your instructor. Keep these fingerprint cards in good condition since you will use them later.

If you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: C-1).

Block VI: Criminalistics
Unit C: **Fingerprint Technology**
Section 2: Identifying Fingerprint Patterns

Ask your instructor for the pretest for this section (VI: C-2). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

You learned in the previous section that no two individuals' fingerprints are identical. However, the friction surface of fingers form ridge patterns that have some common general characteristics. Thus, we can categorize the ridge patterns into three general groups: **loop, arch,** and **whorl.** Each of these is further categorized as follows:

Types of Fingerprints	**Subtypes**
Loop	radial loop ulnar loop
Arch	plain arch tented arch
Whorl	plain whorl central-pocket loop double loop accidental whorl

These categories are based on the classification system used in the United States, called the Modified Henry System. The basic system is the Henry System, named after its originator, Sir Edward Richard Henry of England. However, the Federal Bureau of Investigation in America has modified this system to permit fingerprint grouping into eight categories because there are large numbers of fingerprints processed. Therefore, it is often called the **Modified Henry System.** This section will show you how to identify and label a fingerprint pattern in order to develop a classification formula for this system.

Remember that no two fingerprints are identical. Therefore, the identification of fingerprints must be accurate. Fingerprint science is based upon the individuality of fingerprints, relying upon ridge structure and its relative position in the prints. It is an exact science and is not an area for mistakes. An incorrect classification could result in the fingerprint card being searched for in the wrong area of the files or could result in a wanted person being set free. When dealing with identification, there is absolutely no room for error. If a wrong identification is reported, an innocent person could be incarcerated while the guilty person remains free.

In this unit, we will study three general types of fingerprint patterns: **loop, arch,** and **whorl.** To be able to classify fingerprints, you will need to learn the technical terms used in describing them. After studying this unit, you should know the definitions for ridges, pattern areas, type lines, bifurcation, divergence, focal points, delta, and core. You will also learn how to identify the focal points, deltas, and cores of fingerprints.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Define and/or identify at least seven out of nine terms used for fingerprints.
2. Identify **loop** patterns:
    - Define and/or identify loop patterns.
    - Define radial and ulnar loops.
    - Given three loop pattern fingerprints, count ridges correctly for all three fingerprints.
    - Given various patterns of fingerprints, identify radial and ulnar loops at least twice.
3. Identify **arch** patterns:
    - Define plain and tented arch patterns.
    - Name four types of tented arches.
    - Given various patterns of fingerprints, identify plain arch and tented arch at least twice.
4. Identify **whorl** patterns:
    - Define and identify whorl patterns.
    - Given various patterns of fingerprints, identify different types of whorl patterns.
    - Assign a letter symbol for whorl tracing to three whorl patterns.

Performance Objectives

Using **two** sets of fingerprint cards, which you produced in the previous section, identify and record fingerprint patterns, ridge counts, and whorl tracings on the cards. You will be evaluated on the following tasks. You should receive an "A" (acceptable) rating for your performance on **all** tasks for **both** cards.

Tasks:

1. Identify fingerprint patterns correctly.
2. Use capital letters for all patterns, except ulnar loops, on index fingers.
3. Use small letters for arch, tented arch, and radial loop on other fingers.
4. Use capital W for all whorl patterns.
5. Use "/" or "\" for ulnar loops on all fingers.
6. Write these letter symbols in the appropriate blocks below each fingerprint.
7. For all loop patterns, correctly count ridges intervening between delta and core.
8. Record the number representing the ridge counts for loop patterns in the appropriate place: upper right corner in the fingerprint block.
9. For all whorl patterns, trace the ridges correctly.
10. Record the letter representing the whorl tracings in the appropriate places.
11. Record all letters and numbers clearly (legibly).
12. Complete the work in an acceptable amount of time.

NOTE: After you record the fingerprint patterns, return the cards to your instructor until they are needed in the next section.

Definition of Terms

In order to identify and classify fingerprint patterns, it is essential for you to know the meaning of the terms used in fingerprinting, such as ridges, pattern area, type lines, bifurcation, divergence, focal points, delta, and core.

Ridges

These are lines shown in a fingerprint. The ridges form different types of fingerprint patterns (Figure C-2-1).

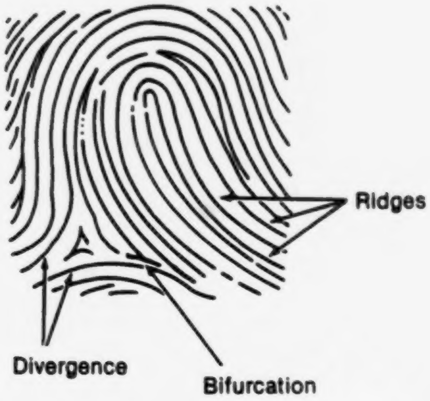


Figure C-2-1
Ridges

Bifurcation

This is a ridge (line) which forks or divides into two or more branches, as shown in Figures C-2-1 and C-2-2.

Divergence

This is the point where two ridges (lines) which have been running parallel spread apart, as shown in Figures C-2-1 and C-2-2.

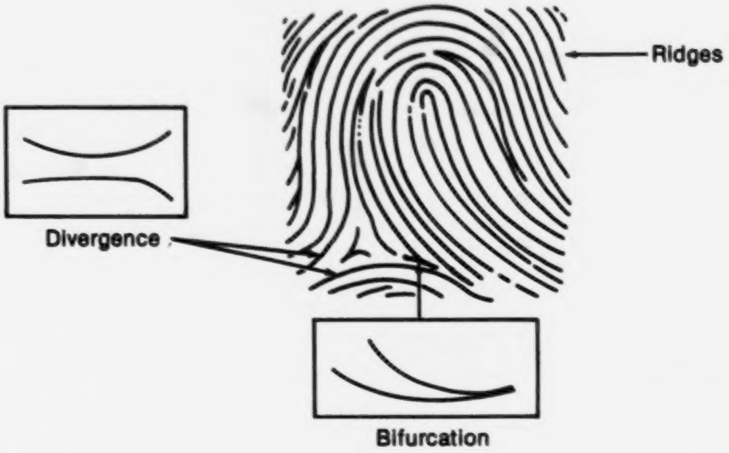

Ridges
Divergence
Bifurcation

Figure C-2-2
Bifurcation and Divergence

Pattern Area

This is where you can find the core, delta, and ridges you need to classify the fingerprint. The pattern area of loops and whorls is enclosed by type lines (Figure C-2-3).

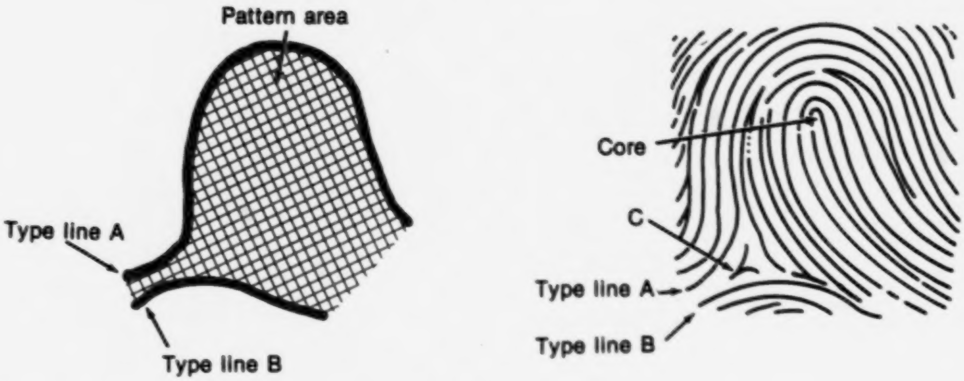

Pattern area
Type line A
Type line B
Core
C
Type line A
Type line B

Figure C-2-3
Pattern Area and Type Lines

Type Lines

These are two innermost ridges which start as parallel lines, later diverge, and then surround the pattern area, as shown in Figure C-2-3. Lines A and B are the type lines which start parallel and diverge at C, then surround the pattern area.

Type lines are usually not continuous. Where there is a break in a type line, the ridge immediately **outside** the line is the continuation of the line, as shown in Figure C-2-4.

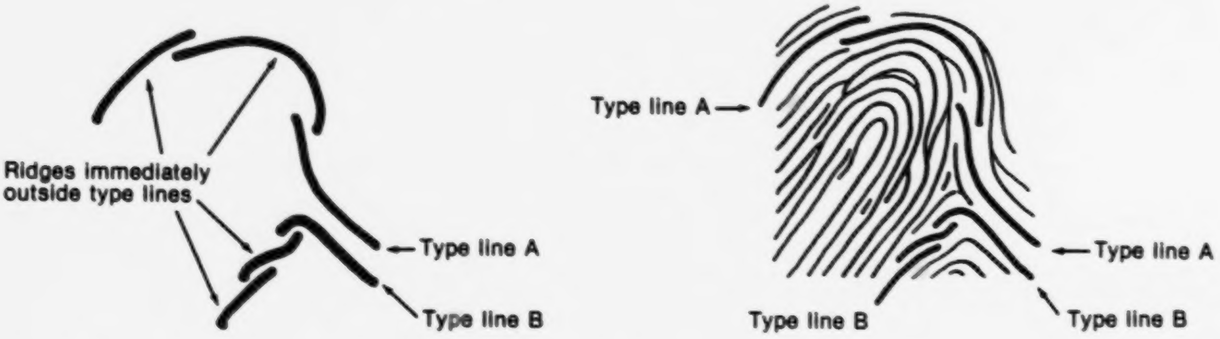

Ridges immediately outside type lines
Type line A
Type line B
Type line A
Type line A
Type line B
Type line B

Figure C-2-4
Type Lines

Example 1

A single ridge may bifurcate but may not diverge. Therefore, the two forks of a bifurcation do not constitute type lines, **except** when the forks run parallel after bifurcation and then diverge as shown in Figure C-2-5. In such a case, the two forks become the two innermost ridges required for type lines.

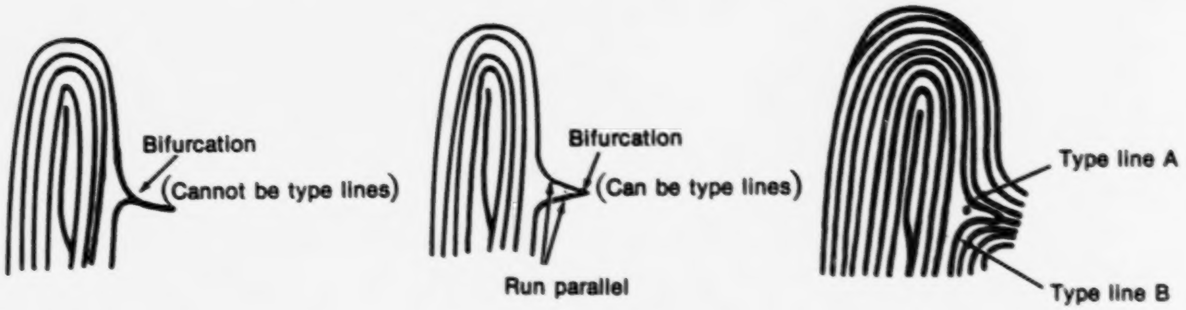

Bifurcation
(Cannot be type lines)
Bifurcation
(Can be type lines)
Run parallel
Type line A
Type line B

Figure C-2-5
Two Forks of a Bifurcation as Type Lines

Example 2

Angles are not formed by a single ridge, but by one ridge abutting against another. Therefore, an angular formation cannot be used as a type line. For example, in Figure C-2-6, ridges A and B join at an angle, ridge B does not run parallel with ridge D, and ridge A does not diverge. Therefore, ridges C and D are the type lines.

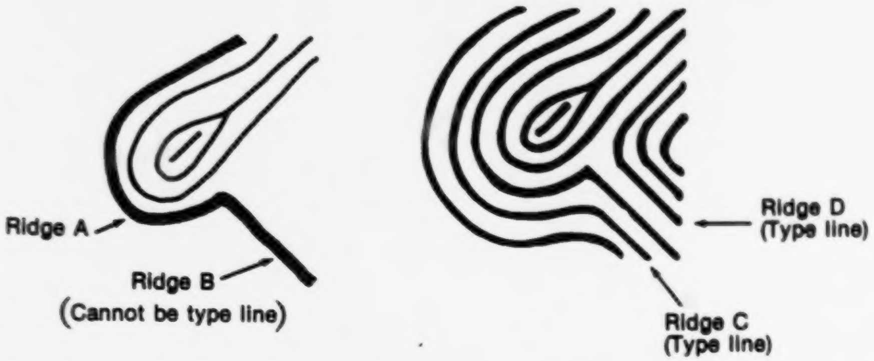

Ridge A
Ridge B
(Cannot be type line)
Ridge D
(Type line)
Ridge C
(Type line)

Figure C-2-6
Angular Formations that Are Not Type Lines

Focal Points

These are the delta and core used to classify the type of fingerprint patterns. You can find these focal points, delta and core, within the pattern area of loops and whorls.

Delta

You can find a delta at (or in front of) and near the center of the divergence of type lines. The delta may be a bifurcation (Figure C-2-7), dot (Figure C-2-8), abrupt ending of a ridge (Figure C-2-9), or fragment or point on a ridge (Figure C-2-10).

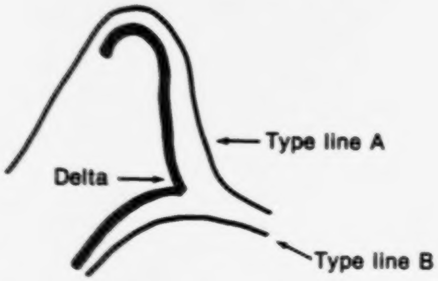

Type line A
Delta
Type line B

Figure C-2-7
Bifurcation Delta

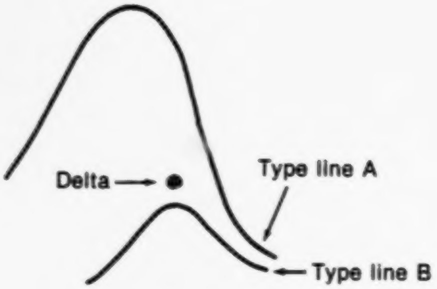

Delta
Type line A
Type line B

Figure C-2-8
Dot Delta

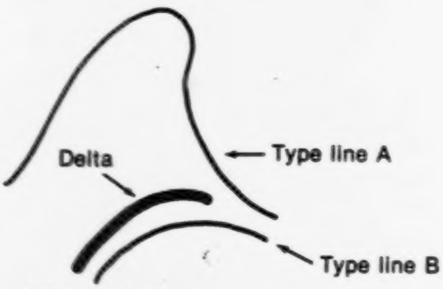

Delta
Type line A
Type line B

Figure C-2-9
Abrupt Ending Delta

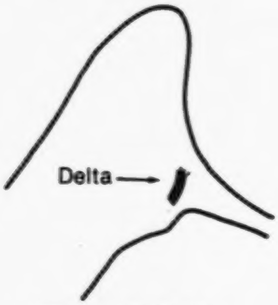


Figure C-2-10
Fragment Delta

Core

It is the approximate center of the finger impression and is on the shoulder of the recurving ridge, as shown in Figures C-2-3 and C-2-11.

Recurve (recurving ridge)

This is a ridge which has an inverted U shape and is found in a loop or a whorl pattern fingerprint.

Shoulder

The shoulders of a loop are the points at which the recurving ridge definitely turns inward or curves (Figure C-2-11).

Rod

It is a fragment of the vertical ridge which does not have a shoulder and does not make a full loop. It is usually in the center of the pattern.

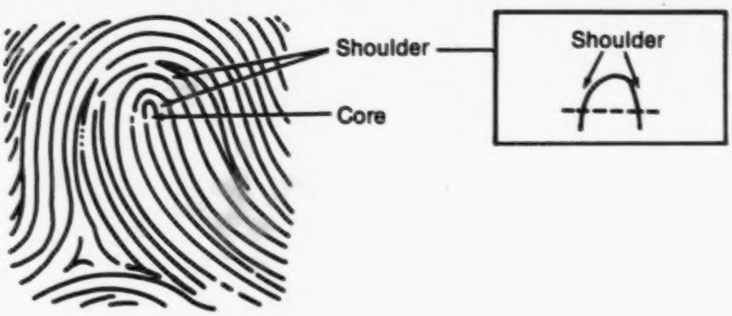


Figure C-2-11
Shoulder

Identifying the Focal Points: Delta and Core

Delta

When there are two or more deltas, use the following four guidelines to identify the delta to be used in classifying the print:

1. The delta may be located at a bifurcation which must open toward the core. In Figure C-2-12, the bifurcation A that opens toward the core is the delta, but the other bifurcations are not deltas because they do not open toward the core.

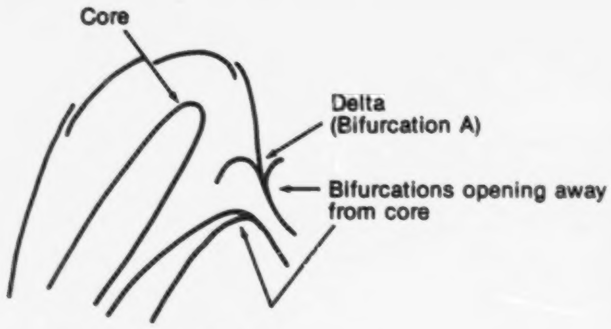

Core
Delta
(Bifurcation A)
Bifurcations opening away from core

Figure C-2-12
Bifurcation Delta that Opens Toward Core

2. If there is a bifurcation delta and another type of delta equally close to the point of divergence, as in Figure C-2-13, choose the bifurcation delta.

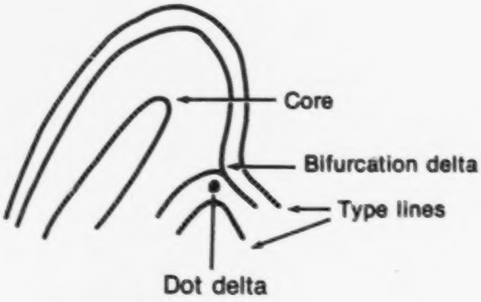

Core
Bifurcation delta
Type lines
Dot delta

Figure C-2-13
Bifurcation Delta and a Dot Close to the Point of Divergence

3. When there are two or more bifurcation deltas, choose the one nearest the core (Figure C-2-14).

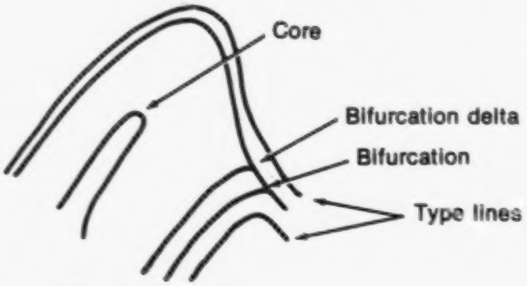

Core
Bifurcation delta
Bifurcation
Type lines

Figure C-2-14
Bifurcation Delta Nearer Core than Other Bifurcation

4. The delta may be located not in the middle of the ridge running between the type lines toward the core but at the end near the core (Figure C-2-15).

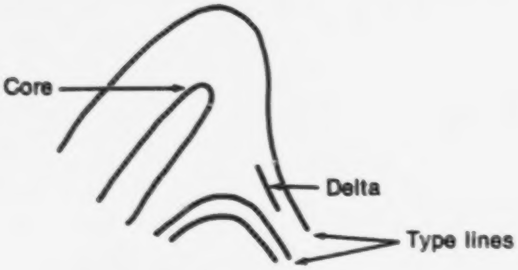

Core
Delta
Type lines

Figure C-2-15
Delta Located at End Nearer Core

Core

Four guidelines for identifying the core are as follows:

1. The core is placed on or within the innermost recurving ridge (Figure C-2-16).

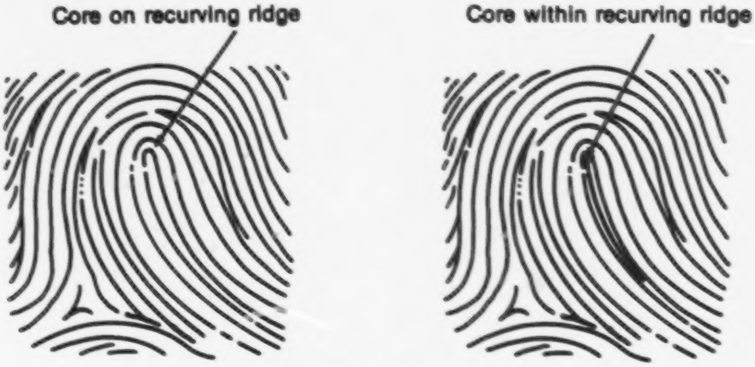

Core on recurving ridge
Core within recurving ridge

Figure C-2-16
Core Locations

2. When the innermost ridge contains no ending ridge rising as high as the shoulders of the recurve, the core is placed on the shoulder of the recurve farthest from the delta (Figure C-2-17).

903

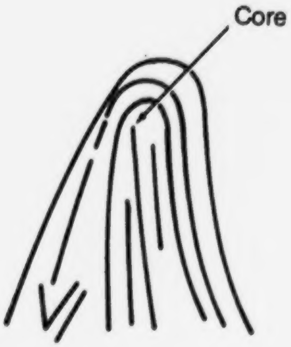


Figure C-2-17
Core at Shoulder of Recurve Farthest from Delta

3. When the innermost sufficient recurve contains an **uneven** number of rods rising as high as the shoulder, the core is placed upon the end of the center rod whether it touches the looping ridge or not (Figure C-2-18).

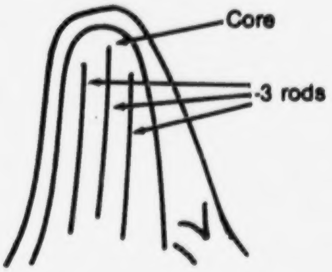


Figure C-2-18
Core of Loop Containing Uneven Number of Rods

4. When the innermost loop contains an **even** number of rods rising as high as the shoulder, the core is located on the end of the farthest of the two center rods. The two center rods are treated as though they were joined (Figure C-2-19).

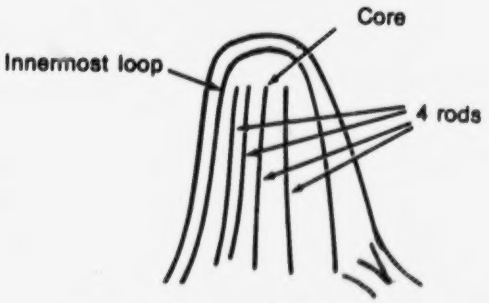


Figure C-2-19
Core of Loop Containing Even Number of Rods

Summary

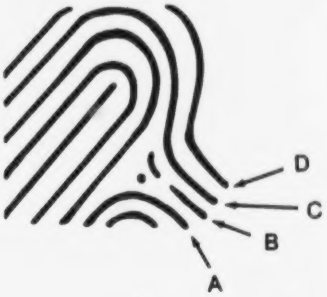
There are three general types of fingerprint patterns: loop, arch, and whorl. In order to classify the prints, you should know the definitions of some technical terms such as ridges, pattern area, type lines, bifurcation, divergence, focal points, delta, and core. You should be able to identify the two focal points, delta and core.

Now complete the review questions beginning on the next page.

Review Questions (VI: C-2a)

Write your answers on a separate sheet of paper.

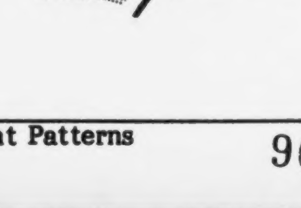
1. What fingerprint system do we use in the United States?
2. List **two** types of arch pattern found in fingerprints.
3. List **two** types of loop pattern found in fingerprints.
4. List **four** types of whorl pattern found in fingerprints.
5. Ridges are:
   - a. lines shown in a fingerprint.
   - b. lines which fork or divide into several branches.
   - c. lines which run parallel, then spread apart.
   - d. two innermost lines which start parallel, diverge, and then surround the pattern area.
6. Look at the diagram below. Which of the following lists indicates type lines?



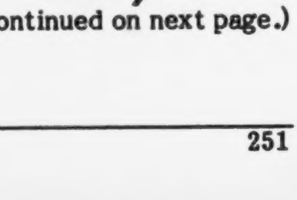
   - a. lines A and B
   - b. lines A and C
   - c. lines B and C
   - d. lines C and D

7. Which **one** of the following shows the pattern area correctly? (Pattern areas are indicated by shades.)

a.

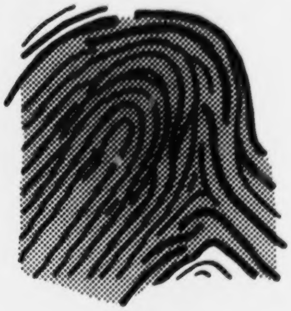


c.

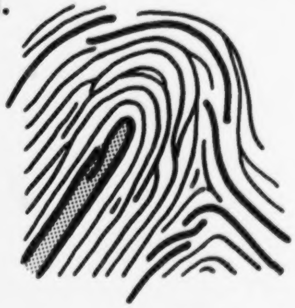


(continued on next page.)

b.

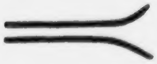


d.

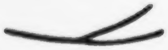


8. Which of the following shows bifurcation?

I.



II.



- a. I only
- b. II only
- c. both I and II
- d. neither I nor II

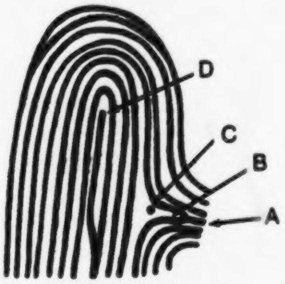
9. Focal points are:

- a. the delta and the core.
- b. the dots within the type lines.
- c. the bifurcation within the pattern area.
- d. the ridges in the loops.

10. What is the delta?

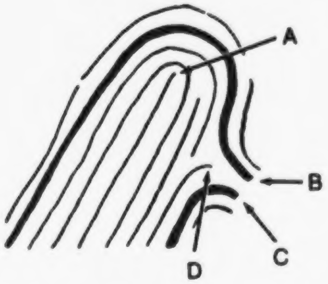
- a. approximate center point of the fingerprint
- b. point near the center of the divergence of the type lines
- c. point at the bifurcation near the core
- d. triangular type of ridge in the fingerprint

11. Look at the diagram below. Which point shows the delta?



a. point A
b. point B
c. point C
d. point D

12. Look at the diagram below. Which point shows the delta?

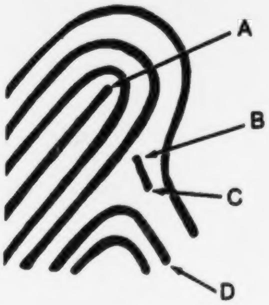


a. point A
b. point B
c. point C
d. point D

13. The core is the:

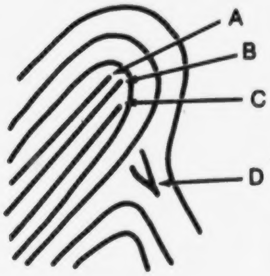
a. point on a ridge nearest the divergence of the type lines.
b. triangular form of ridges shown in the fingerprint.
c. approximate center of the fingerprint.
d. point at the middle of a ridge running between the type lines.

14. Look at the diagram below. Which point is the core?



a. point A
b. point B
c. point C
d. point D

15. Look at the diagram below. It is slightly different from the one given in question 14. Which point is the core for this one?



a. point A
b. point B
c. point C
d. point D

Check your answers with the correct ones provided in the answer key. Review the questions you answered incorrectly. Then continue with the next part of this section (VI: C-2).

Loop-Type Pattern

Loop-type patterns constitute nearly 65 percent of all fingerprints. The pattern structure is uniquely suited to assignment of a numerical value for use in the classification formula. To assign a numerical value to the fingerprint, you count the ridges between the delta and the core.

Definition

A loop-type fingerprint is a fingerprint where one or more of the ridges (1) enter on one side of the impression, (2) recurve, touch, or pass an imaginary line drawn between the delta and the core, and (3) terminate on or toward the same side of the impression where these ridges entered. In other words, in a loop-type fingerprint, ridges start out in one direction, make a U-turn, and return to the original direction, as shown in Figure C-2-20.

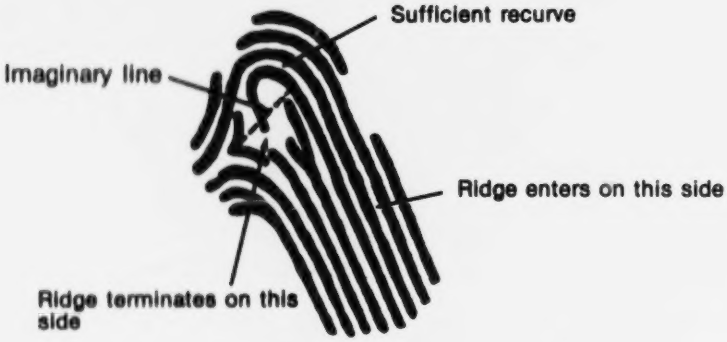


Figure C-2-20
Loop Pattern Fingerprint

Essential Elements of a Loop

In order to be a loop pattern, a fingerprint must have the following:

1. a **delta**
2. **sufficient recurve**
   The recurve must cross an imaginary line from the delta to the core as shown in Figure C-2-20 and must be free of any appendages abutting on its outside (see Figures C-2-21 and C-2-22). An **appendage** is a ridge connecting to or abutting upon a recurve. Because appendages can change the shape of the recurving ridge to which they are attached, they can destroy the sufficient recurve. If an appendage is at the right angle on the outside of the recurve, as shown in Figure C-2-22, it destroys the sufficient recurve; but if it flows off smoothly, as shown in Figure C-2-21, it does not.

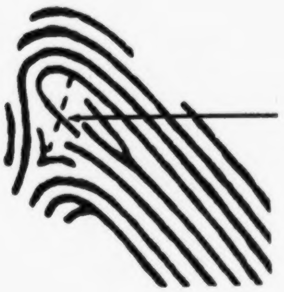

Passes the imaginary line

Figure C-2-21
Recurve Free of Appendage

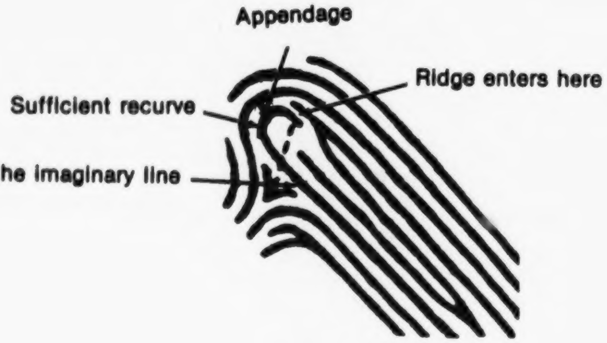

Appendage
Ridge enters here
Sufficient recurve
Passes the imaginary line

Figure C-2-22
Recurve with an Appendage

3. **ridge count**
   The ridge count is the total number of ridges touched or crossed by an imaginary line placed between the delta and the core. When you count the ridges, use the procedures outlined below as a general guideline.

Counting Ridges

In order to assign a numerical value to a loop-type fingerprint, you should count the ridges between the delta and the core. The following procedure is a basic guideline:

STEP 1: Obtain a fingerprint magnifying glass. The glass has a red line which indicates the imaginary line from the delta to the core.

STEP 2: Place the glass over the fingerprint so that the red line is aligned at the exact focal points of the delta and core (Figure C-2-23).

CAUTION: Do not draw a line or put any marking on the fingerprint itself.

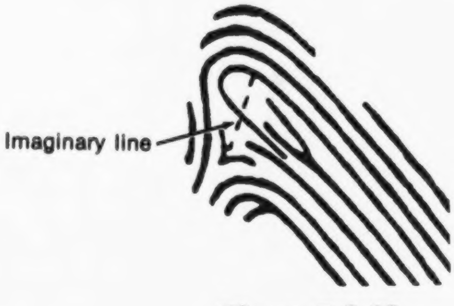

Imaginary line

Figure C-2-23
Imaginary Line

911

STEP 3: Count each ridge which crosses or touches this imaginary line, observing the following rules:

a. Do **not** count the delta or the core.

b. If there is a bifurcation exactly at the imaginary line **and** a white space is crossed, count it as two ridges (Figure C-2-24).

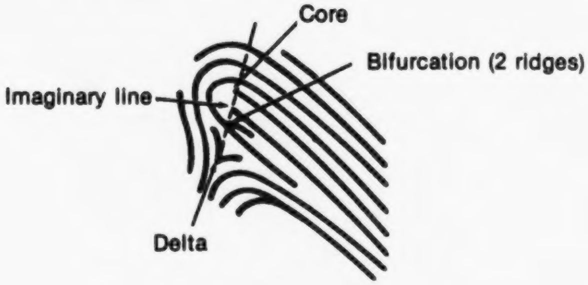

Core
Bifurcation (2 ridges)
Imaginary line
Delta

Figure C-2-24
Bifurcation at the Imaginary Line

c. If an island crosses the line, count both sides (Figure C-2-25).

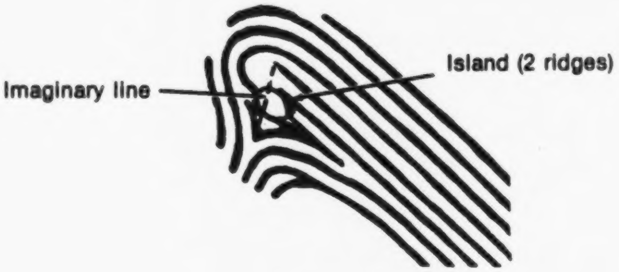

Island (2 ridges)
Imaginary line

Figure C-2-25
Island Crossing the Imaginary Line

d. If the line crosses or touches a small ridge or dot, count it as a ridge only if it appears to be as thick as the other ridges (Figure C-2-26).

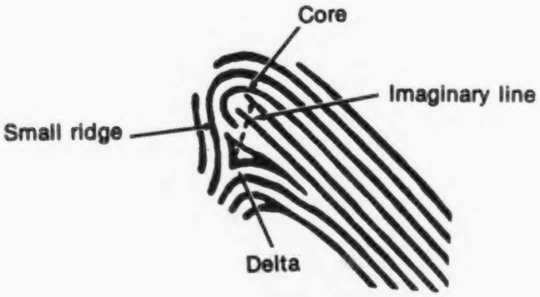

Core
Imaginary line
Small ridge
Delta

Figure C-2-26
Dot at the Imaginary Line

When you count the ridges, consider variations in inking and pressure, and check the rolled fingerprint you are working on with the plain (flat) impressions if there is a doubt. Figure C-2-27 shows the various types of ridges you will encounter when counting ridges.

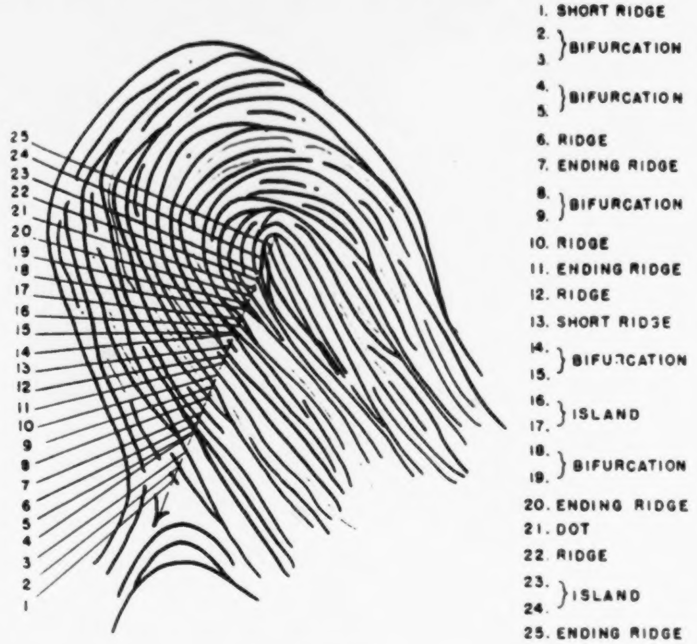

1. SHORT RIDGE
2. 3. } BIFURCATION
4. 5. } BIFURCATION
6. RIDGE
7. ENDING RIDGE
8. 9. } BIFURCATION
10. RIDGE
11. ENDING RIDGE
12. RIDGE
13. SHORT RIDGE
14. 15. } BIFURCATION
16. 17. } ISLAND
18. 19. } BIFURCATION
20. ENDING RIDGE
21. DOT
22. RIDGE
23. 24. } ISLAND
25. ENDING RIDGE
1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25

Figure C-2-27
Various Types of Ridges

Examples of Loop and Nonloop fingerprints

In Figures C-2-28 and C-2-29, there is a delta, ridge count of 2 across a looping ridge, and a sufficient recurve free of appendages. The recurve is sufficient because it passes an imaginary line and tends to terminate on the same side it entered. Therefore, it is a loop-type fingerprint.

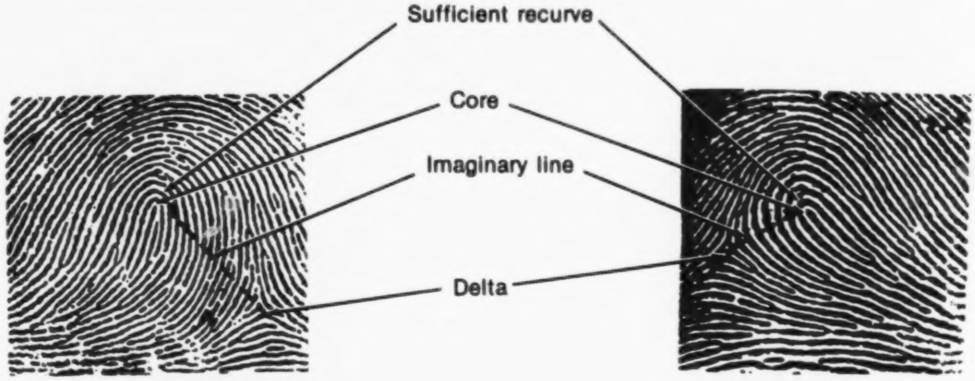

Sufficient recurve
Core
Imaginary line
Delta

Figure C-2-28
Loop-Type Fingerprint

Figure C-2-29
Loop-Type Fingerprint

Figures C-2-30 and C-2-31 show nonloop-type fingerprints. There is a delta and a ridge count across the looping ridge in Figure C-2-30. However, the recurve is not sufficient because the ridge entering on one side does **not** pass the imaginary line.

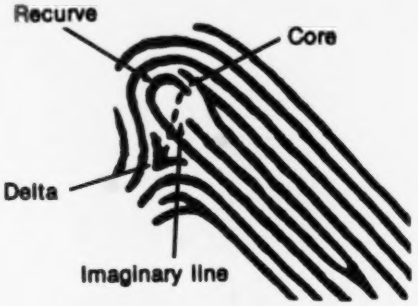


Figure C-2-30
Nonloop Fingerprint

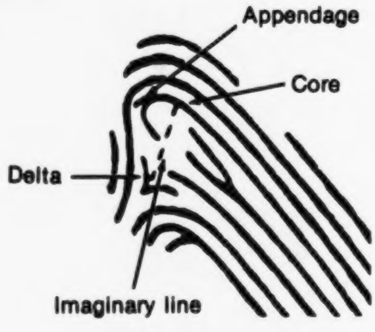


Figure C-2-31
Nonloop Fingerprint

In Figure C-2-31, there is a delta, a ridge count of one across the looping ridge, and a recurve which passes the imaginary line. However, the recurve has an appendage; therefore, the fingerprint is not a loop.

Radial and Ulnar Loops

There are two types of loops: radial and ulnar. These terms are derived from the names of the two bones of the forearm, radius and ulna. In **ulnar** loops, the ridges flow in the direction of the ulna bone (toward the little finger). These ridges start on the little finger side, recurve, and end on the little finger side. In **radial** loops, the ridges flow in the direction of the radius bone (toward the thumb). Symbols for radial loop patterns are "R" for index fingers and "r" for all other fingers. Symbols for ulnar loop patterns are "/" and "\".

In order to identify the radial and ulnar loops, place your hand next to the fingerprints (right hand for the right fingerprints and left hand for the left fingerprints). As you place your hand correctly for taking fingerprints, determine from which side of the hand (thumb side or little finger side) the ridges start and terminate.

Remember: The classification of loops is based on the **hand**, not the fingerprint card.

In Figure C-2-32, fingerprints 1, 3, 4, and 5 of the right hand are ulnar loops because the ridges enter from the right little finger side (ulna bone side) and recurve and flow back out the same side of the hand.

On fingerprint 2 (right index), the ridges flow toward the right thumb side (radius bone side), producing a radial loop.

On the left hand impressions, fingerprints 8, 9, and 10 are ulnar loops because the ridge lines forming the loop enter and exit the pattern from the little finger side of the hand.

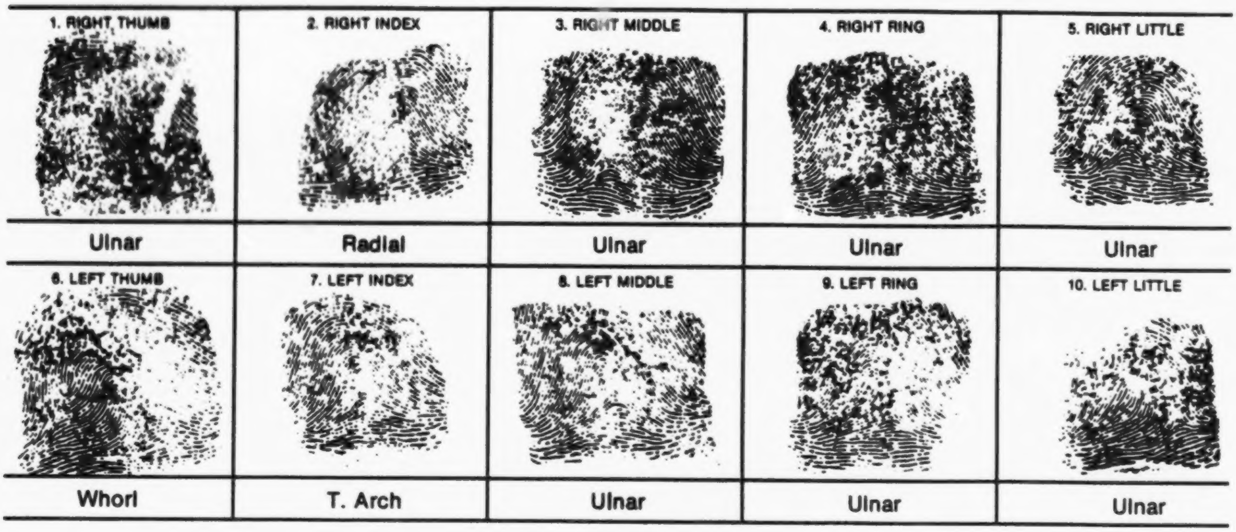

1. RIGHT THUMB
2. RIGHT INDEX
3. RIGHT MIDDLE
4. RIGHT RING
5. RIGHT LITTLE
Ulnar
Radial
Ulnar
Ulnar
Ulnar
6. LEFT THUMB
7. LEFT INDEX
8. LEFT MIDDLE
9. LEFT RING
10. LEFT LITTLE
Whorl
T. Arch
Ulnar
Ulnar
Ulnar

Figure C-2-32
Radial and Ulnar Loop-Pattern Fingerprints

Summary

Definition of Loop Pattern

Ridges in a loop pattern must:

- enter either side
- recurve
- touch an imaginary line between delta and core
- terminate on entry side.

Essentials of a Loop

- sufficient recurve
- delta
- ridge count across a looping ridge

Requirements for Sufficient Recurve

- recurve between the shoulders
- free of appendages

Rules of Ridge Counting

- Count each ridge crossing or touching a line between delta and core.

- Do not count delta or core.

- Count a bifurcation occurring exactly at the imaginary line as two ridges.

- Count both sides of an island crossing the line.

- Count a small ridge or dot as a ridge if it crosses or touches the line and is as thick as the other ridges.

Types of Loops

- radial loop: Ridges enter from thumb (radius) side of the hand, recurve, and exit to the thumb side of the hand.
- ulnar loop: Ridges enter from little finger (ulnar) side of the hand, recurve, and exit to the little finger side of the hand.

Now complete the review questions beginning on the next page.

Review Questions (VI: C-2b)

Write your answers on a separate sheet of paper.

1. What are the **three** essential elements of a loop?

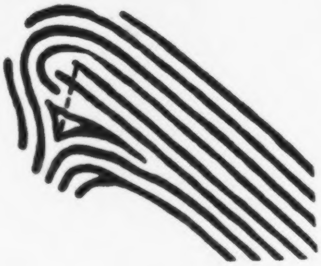
2. What are **two** requirements for a sufficient recurve?

3. Which of the following defines the ridge count?

   a. an imaginary line placed between the delta and the core
   b. number of ridges within the loop ridge
   c. total number of ridges touched (or crossed) by an imaginary line between delta and core
   d. total number of ridges connected to a recurve

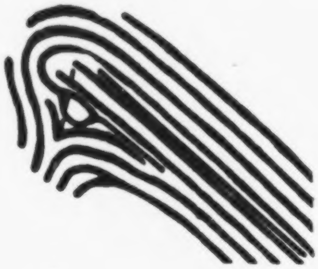
4. How many ridge counts does the diagram below have?

   a. 2
   b. 3
   c. 4
   d. 5



5. How many ridge counts does the diagram below have?

   a. 2
   b. 3
   c. 4
   d. 5



6. A dot which the imaginary line touches is:

   a. counted as a ridge.
   b. not counted as a ridge.
   c. counted as a ridge only when it is as thick as the others.
   d. counted as a ridge only when it touches the delta.

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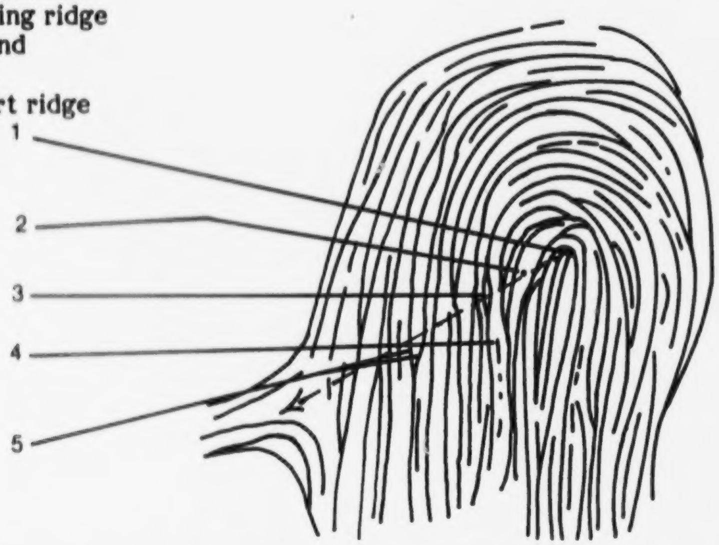
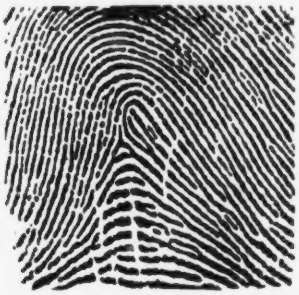
7. Write the letters a–e on your paper, then look at the diagram below. Match the numbered ridges of the diagram with the names in the list by writing the diagram number next to the letters on your paper.

   a. bifurcation
   b. ending ridge
   c. island
   d. dot
   e. short ridge

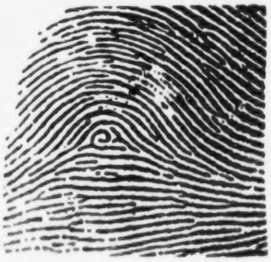


8. Which of the following shows a loop-type fingerprint?

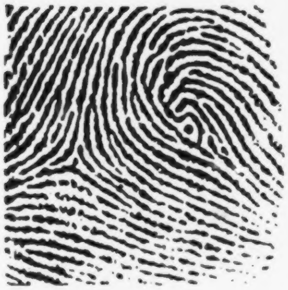
a.



c.



b.

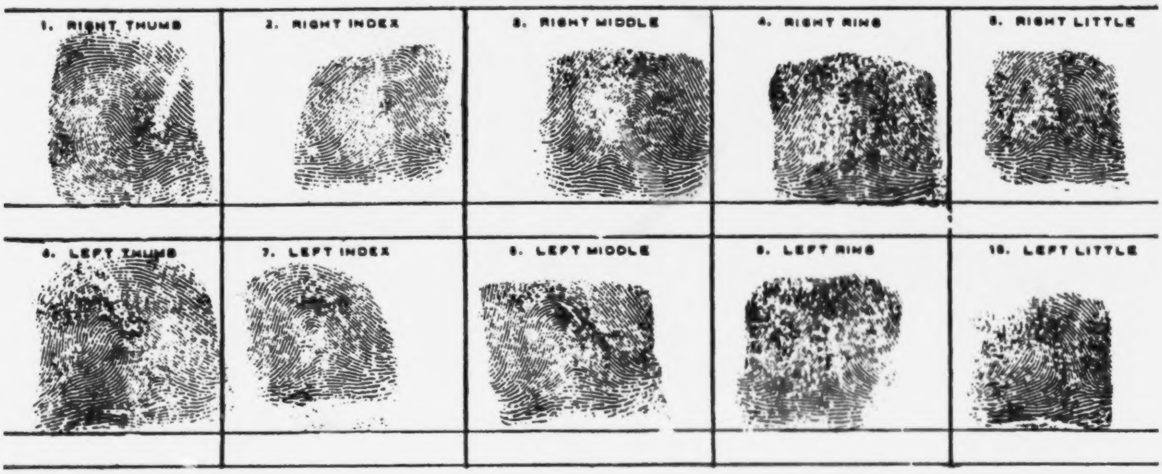


9. Which **two** of the following are correct statements?

   a. In ulnar loops, the ridges flow in the direction of the little finger.
   b. In ulnar loops, the ridges flow in the direction of the thumb.
   c. In radial loops, the ridges flow in the direction of the little finger.
   d. In radial loops, the ridges flow in the direction of the thumb.

10. Which of the impressions given below shows a radial loop-type fingerprint?

   a. right thumb
   b. right index
   c. right little finger
   d. left index


1. RIGHT THUMB
2. RIGHT INDEX
3. RIGHT MIDDLE
4. RIGHT RING
5. RIGHT LITTLE
6. LEFT THUMB
7. LEFT INDEX
8. LEFT MIDDLE
9. LEFT RING
10. LEFT LITTLE

Check your answers with the correct ones provided in the answer key. Then do the practical exercise on the next page.

Practical Exercise (VI: C-2b)

Examine the three fingerprints you have produced for the practical exercise in the previous section and identify any loop patterns. Then check and discuss your work with your instructor.

After checking your work with your instructor, continue with the next part of this section (VI: C-2).

Definition and Divisions

Arch-type patterns are less common than loop patterns. They constitute 5 to 10 percent of all prints. However, arch-type fingerprints have their own specific characteristics. There are two types of arches, plain and tented, and four types of tented arches: angle, upthrust, near-loop, and arbitrary-loop. In this section you will learn how to identify these different types of arch patterns.

Plain Arch

In plain arches the ridges (1) enter on one side, (2) make a rise or wave in the center, and (3) tend to flow out on the opposite side. Figure C-2-33 shows a typical plain arch.

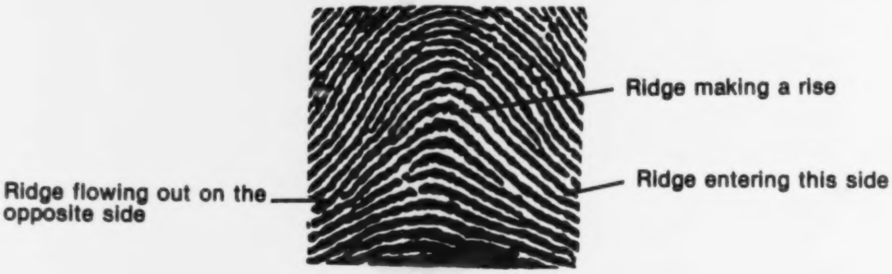


Figure C-2-33
Arch-Pattern Fingerprint

Although an arch-type fingerprint has the three general characteristics listed above, you should remember that the various ridge formations such as ending ridges, bifurcations, dots, and islands provide individual or specific characteristics. Symbols for plain, arch-type fingerprints are "A" for index fingers and "a" for all other fingers.

Tented Arch

In a tented arch, most of the ridges enter on one side and tend to flow out on the opposite side as in the plain arch, but the ridges at the center have a more pointed appearance (as shown in Figure C-2-34) than a plain arch. The symbols for tented arch-type fingerprints are "T" for index fingers and "t" for all other fingers.

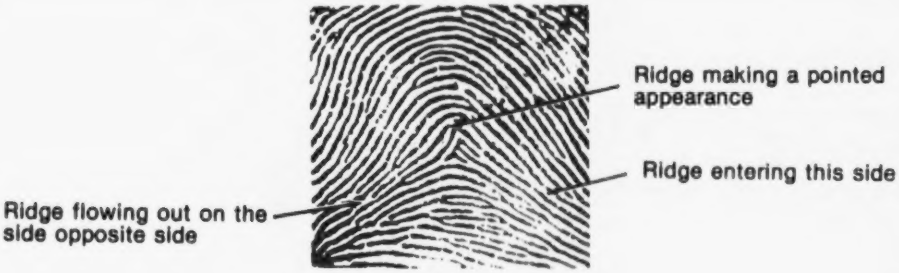

Ridge making a pointed appearance
Ridge entering this side
Ridge flowing out on the side opposite side

Figure C-2-34
A Tented Arch

There are four types of tented arches: angle, upthrust, near-loop, and arbitrary-loop.

1. **Angle type:** Ridges at the center form a definite angle of 90 degrees or less. In Figure C-2-35, the ridge A-A enters on one side of the impression and flows to the other with an acute rise in the center. Ridge C strikes into A at point B, forming an acute angle, and the ridges marked D-D also form an acute angle. Although this illustration shows two angles, one angle would be sufficient to establish a tented arch.

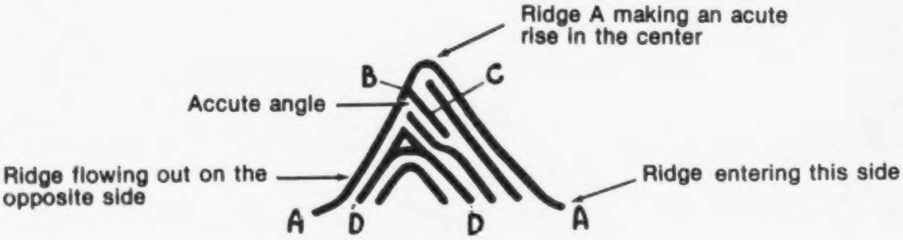

Ridge A making an acute rise in the center
B
C
Accute angle
Ridge flowing out on the opposite side
Ridge entering this side
A
D
D
A

Figure C-2-35
Angle-type Tented Arch

2. **Upthrust type:** One or more ridges at the center are thrust upward 45 degrees or more from the horizontal plane. In Figure C-2-36, you can find at least five such ridges in the center of the pattern.

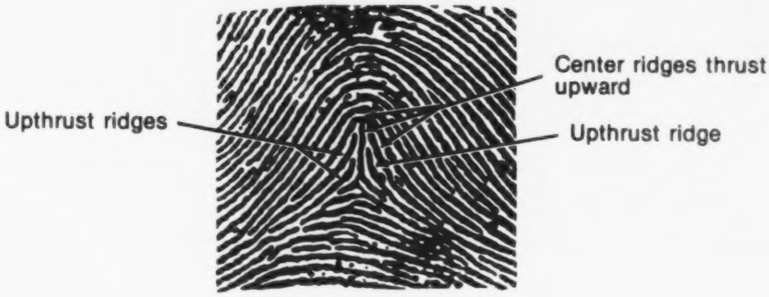

Center ridges thrust upward
Upthrust ridges
Upthrust ridge

Figure C-2-36
Upthrust-type Tented Arch

3. **Near-loop type:** This type of tented arch looks like a loop pattern, but does not have one of the three essential elements of a loop pattern. If an impression has a sufficient recurve and a delta but no ridge count across a looping ridge, as in Figure C-2-37, it is a near-loop tented arch. If an impression has a delta and a ridge count across a looping ridge but lacks a sufficient recurve, as in Figure C-2-38, it is a near-loop tented arch.

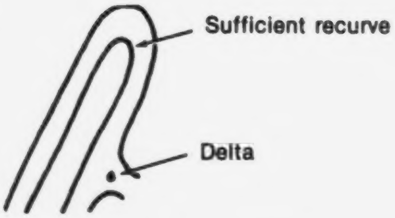


Figure C-2-37
Near-loop Tented Arch
(ridge count missing)

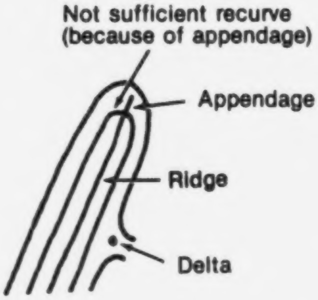


Figure C-2-38
Near-loop Tented Arch
(sufficient recurve missing)

4. **Arbitrary-loop type:** This type has two loop formations with one delta as shown in Figure C-2-39. Since we are unable to determine which loop should be counted, the pattern is classified as a tented arch.

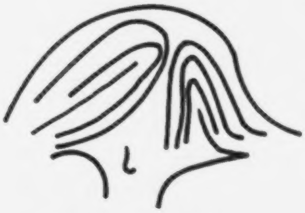


Figure C-2-39
Arbitrary-loop Tented Arch

Automatic Reference Rules

The Automatic Reference Rules, as established by the Federal Bureau of Investigation (FBI), provides a standard way of classifying questionable patterns. They list atypical patterns that automatically receive an alternate classification to further help in identification.

This alternate class code is the "reference." The phrase "referenced to" means that a second possible classification is listed if the first is questionable. That is, the symbol for the doubtful first choice classification is followed by a question mark and the second choice symbol, its "reference." Thus, to say that an angle-type tented arch must be referenced to a plain arch means that both are possible classifications and should be studied together.

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If a pattern, ridge count, or tracing might cover more than one definition or cannot be determined exactly, an automatic reference is necessary. The five rules for automatic referencing follow:

1. Any tented arch containing a looping ridge (as shown in Figure C-2-40) must be referenced to a loop because of the delta formation. The symbol for a tented arch containing a looping ridge is "t?/".

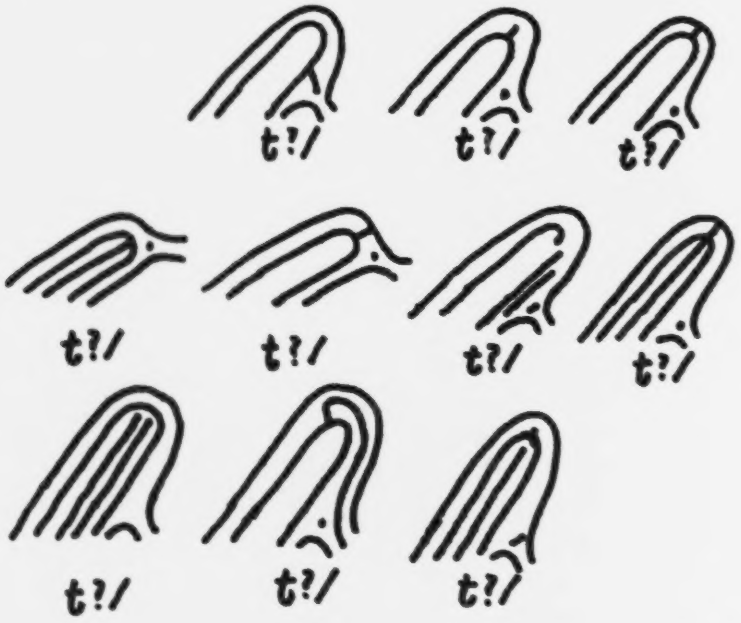


Figure C-2-40
Examples of Tented Arch Referenced to Loop (t?/)

2. Any loop consisting of a single looping ridge which has an appendage between the shoulders must be referenced to a tented arch, provided that the appendage does not come in front of the delta. The symbol for this type of fingerprint is "/? t". Examples of this type are shown in Figure C-2-41.

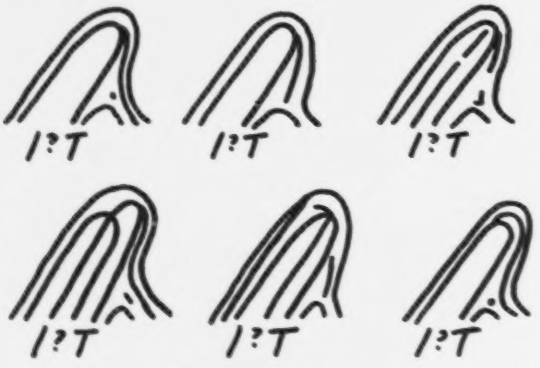


Figure C-2-41
Examples of Loop Referenced to Tented Arch (/?t)

3. Any angle-type tented arch must be referenced to a plain arch as shown in Figure C-2-42, **except** a tented arch with the very acute angle (see Figure C-2-43).

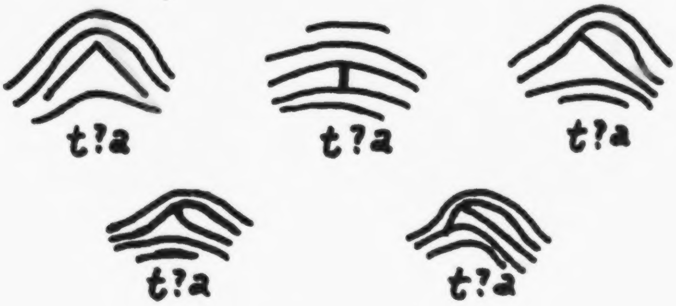


Figure C-2-42
Angle-type Tented Arches Referenced to Plain Arch (t?a)

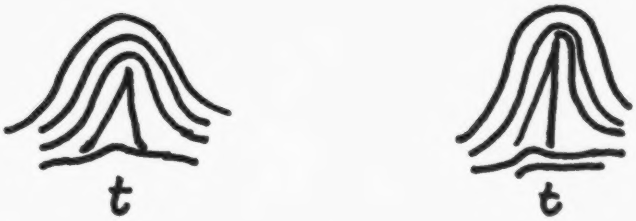


Figure C-2-43
Tented Arches with Acute Angle

4. Any tented arch composed of two ending ridges on or about the same plane plus a delta formation (as shown in Figure C-2-44) must be referenced to a plain arch, provided neither ridge has a definite upthrust. It is referenced this way because its original classification as a plain arch has been changed. Compare the impressions in Figure C-2-44 with the tented arches shown in Figure C-2-45.

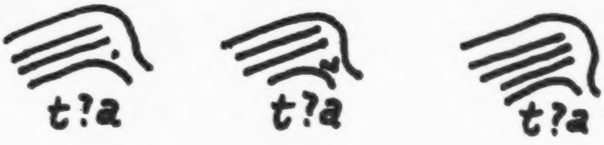


Figure C-2-44
Examples of Tented Arch Referenced to Plain Arch (t?a)

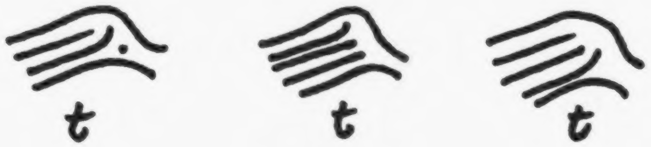


Figure C-2-45
Tented Arches

5. Any obstruction-type central-pocket-loop whorl (as shown in Figure C-2-46) must be referenced to a loop. It is referenced this way because its original classification as a loop has been changed.

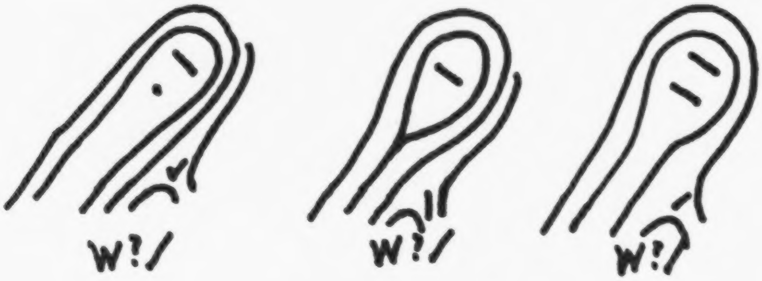


Figure C-2-46
Examples of Obstruction-type Central-pocket-loop Whorl Referenced to Loop (W?/)

Summary

There are two major types of arch-type fingerprints.

1. Plain arch

   The ridges must:

   a. enter on one side
   b. make a rise or wave in the center
   c. tend to flow out on the opposite side.

2. Tented arch

   a. angle type

      The ridges must:

      1. enter on one side and tend to flow out on the opposite side
      2. form an angle of 90 degrees or less at the center.

b. upthrust type

The ridges must:

1. enter on one side and tend to flow out on the opposite side
2. form an upthrust at the center which rises at a 45-degree angle or more from a horizontal plane.

c. near-loop type

The ridges must:

1. enter on one side and tend to flow out on the opposite side
2. look like a loop at the center
3. lack any one of the three essential elements of a loop.

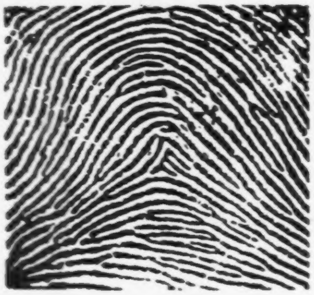
d. arbitrary-loop type

1. It has two loops with one delta.
2. Which loop to count cannot be determined, so it is classified as a tented arch.

Now complete the review questions beginning on the next page.

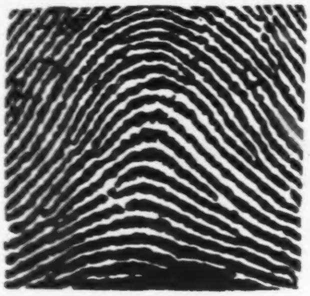
Write your answers on a separate sheet of paper.

1. In plain arches, the ridges: (Choose **three** correct answers.)
   - a. enter on one side.
   - b. make a rise in the center.
   - c. flow out on the opposite side.
   - d. have short ridges for ending ridges.
2. In tented arches, the ridges: (Choose **three** correct answers.)
   - a. enter on one side.
   - b. make a pointed appearance at the center.
   - c. flow out on the opposite side.
   - d. have two deltas.
3. Which type of arch does the diagram below show?



   - a. plain arch
   - b. tented arch
   - c. plain tented arch
   - d. none of the above

4. Which type of arch does the diagram below show?



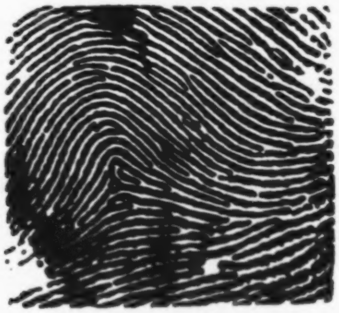
   - a. plain arch
   - b. tented arch
   - c. plain tented arch
   - d. none of the above

5. Which pattern has four subtypes: angle, upthrust, near-loop, and arbitrary-loop?

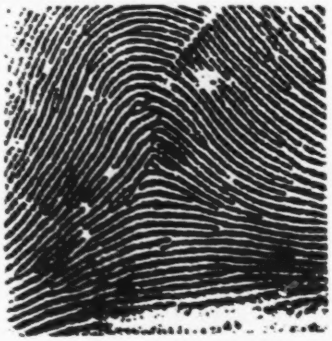
   a. plain arch pattern
   b. tented arch pattern
   c. loop pattern
   d. whorl pattern

6. The following fingerprints are upthrust, angle, and near-loop types. Write the letters a-c on your paper. Then write the type of each fingerprint by the letter.

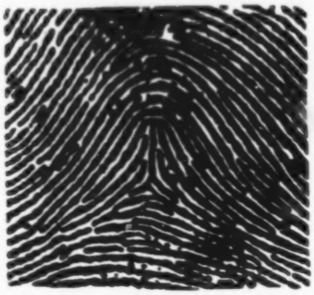
a.



b.



c.



7. The ridges enter on one side, flow out on the opposite side, and look like a loop at the center. The fingerprint lacks one of the three essential elements of a loop. What type is the fingerprint?

   a. radial loop
   b. ulnar loop
   c. near-loop tented arch
   d. double-loop whorl

8. Any tented arch containing a looping ridge is expressed by the symbol ____________________.

9. An angle-type tented arch referenced to a plain arch is expressed by the symbol ____________________.

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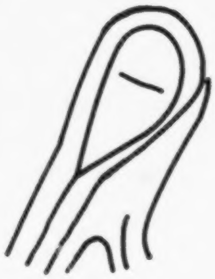
10. What is the symbol for the following fingerprint type?



Check your answers with the correct ones provided in the answer key. Then do the practical exercise on the next page.

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Practical Exercise (VI: C-2c)

Examine the three fingerprint cards you have produced and identify plain arches, angle-type tented arches, upthrust tented arches, and near-loop tented arches. Then check and discuss your work with your instructor.

After checking your work with your instructor, continue with the next part of this section (VI: C-2).

Definitions and Divisions

Whorl pattern fingerprints have at least two deltas with a recurve in front of each delta as shown in Figure C-2-47. In this pattern, one or more ridges make a circular, oval, or spiral circuit around the core as shown in these figures, and there is a single or double core.

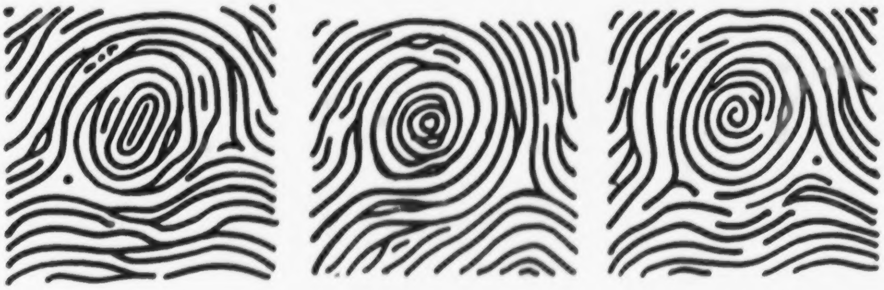

Figure C-2-47
Whorl-Type Patterns

There are four types of whorl patterns: **plain, central-pocket loop, double loop,** and **accidental.** The whorl patterns occur in about 30 percent of all fingerprints, and, therefore, you will need to know how to identify them. When identifying pattern types on the fingerprint card, you will designate all types of whorl patterns with the capital letter "W".

Plain Whorl

The plain whorl is the simplest and the most common of the four types of whorl patterns. When identifying a plain whorl, make sure that the fingerprint impression meets the following four criteria:

1. There are two deltas.
2. At least one ridge tends to make a complete circuit. The circuit may be circular, oval, spiral, or any variant of a circle.
3. An imaginary line drawn between the two deltas touches or crosses at least one of the recurving ridges within the inner pattern area.
4. The recurving ridges in front of the innermost delta are free of appendages.

Examples: Figures C-2-48 and C-2-49 show typical plain whorls. They meet all four criteria listed above.

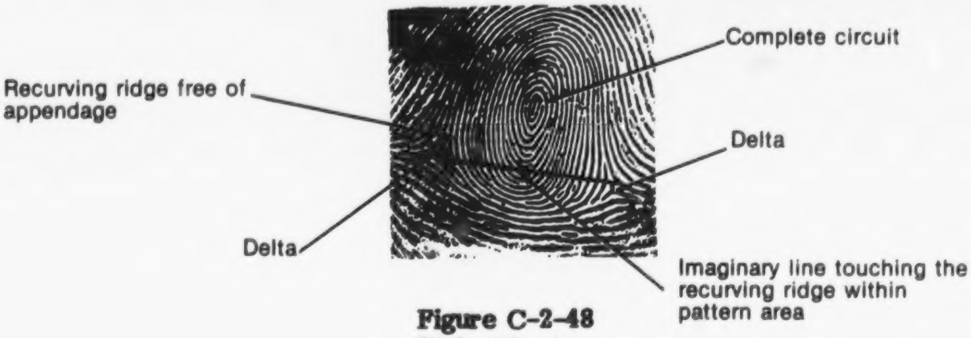
Complete circuit
Recurving ridge free of appendage
Delta
Delta
Imaginary line touching the recurving ridge within pattern area

Figure C-2-48
Plain Whorl

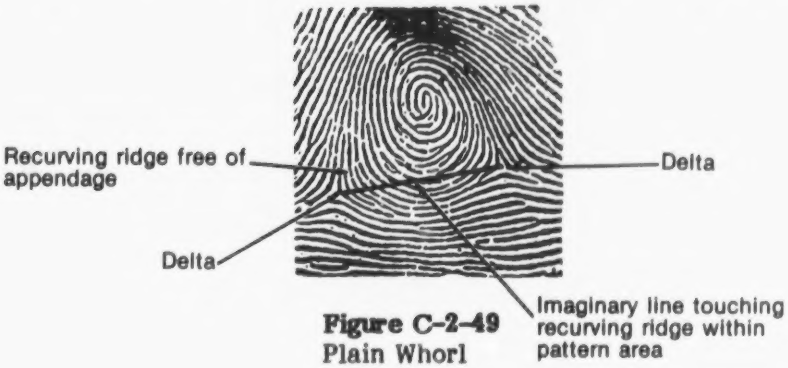
Recurving ridge free of appendage
Delta
Delta
Imaginary line touching recurving ridge within pattern area

Figure C-2-49
Plain Whorl

Counterexample: The following illustration, Figure C-2-50, shows a fingerprint which is not a plain whorl because it does not meet the fourth criterion listed above. A recurving ridge in front of the innermost delta has an appendage. Thus, this pattern could be classified as a loop.

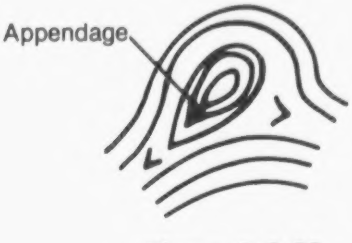

Figure C-2-50
Nonwhorl-type with Appendage

Examples: For comparison, look at Figures C-2-51 through C-2-55, which are examples of plain whorl patterns.

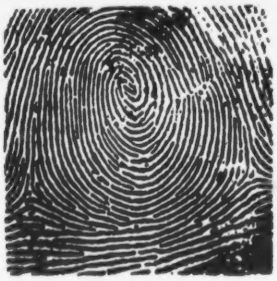

Figure C-2-51

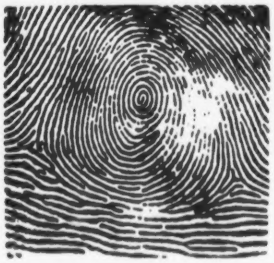

Figure C-2-52

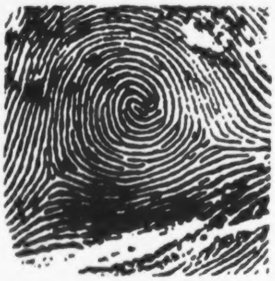

Figure C-2-53

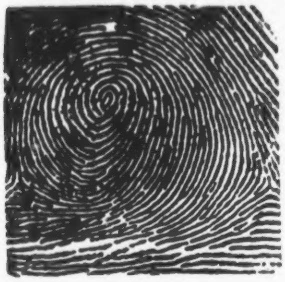

Figure C-2-54

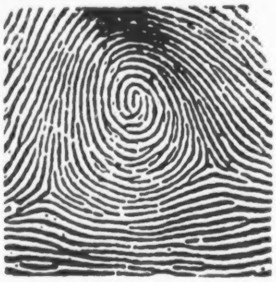

Figure C-2-55

In all of these figures, you will find the following:

- two deltas
- at least one ridge making (or tending to make) a complete circuit in any variant of a circle
- a recurving ridge free of appendages
- at least one of the recurving ridges within the inner pattern area can be touched or crossed by an imaginary line between the two deltas

Central-Pocket-Loop Whorl

The following are some rules governing the definition of the central-pocket-loop whorl pattern:

1. It has two deltas and at least one ridge making a complete circuit in any variant of a circle (see Figure C-2-56).

2. An imaginary line drawn between the two deltas must **not** touch or cross any recurving ridges within the inner pattern area (see Figure C-2-56).

3. The recurving ridges in front of the innermost delta must be free of appendages.

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4. If there is not a sufficient recurve between the delta and the core, there must be a ridge (not a dot) at a right angle to the imaginary line.

   NOTE: Rules 1 and 3 are the same as those for a plain whorl. For practical purposes, then, concentrate on rule 2 when you identify a central-pocket-loop whorl.

Example: Figure C-2-56 shows a central-pocket-loop whorl pattern which meets all four rules listed above.

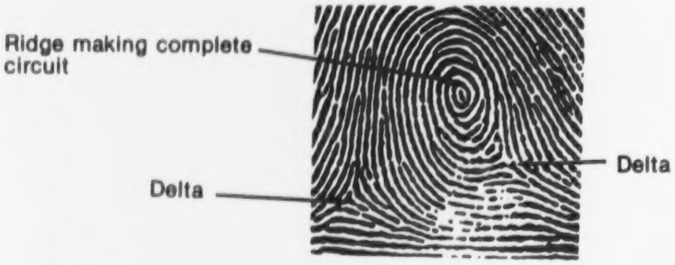

Figure C-2-56
Central-Pocket-Loop Whorl

Double-Loop Whorl

The following three elements determine the definition of a double-loop whorl:

1. There must be two separate loops, with two separate and distinct sets of shoulders and two deltas.

2. The shoulders of the recurves must be free of any appendages at right angles. An appendage which flows off smoothly does not spoil the loop.

3. No ridge count is necessary.

   NOTE: This pattern type does not include the "S" core, which does not form two distinct loops, or the interlocking core. The two loops may be connected by an appending ridge which does not abut (touch) at right angles between the shoulders of the recurves.

   Examples: Figures C-2-57 and C-2-58 show double-loop whorl patterns. Notice that there are (1) two separate loop formations, (2) two sets of shoulders which are free of appendages, and (3) two deltas.

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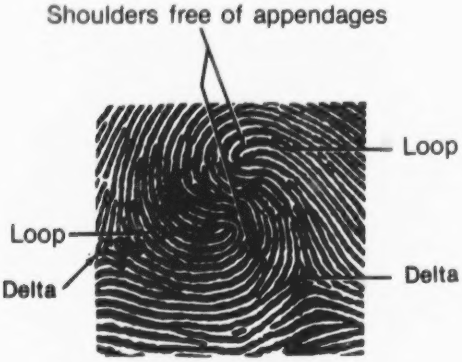
Shoulders free of appendages
Loop
Loop
Delta
Delta

Figure C-2-57
Double-Loop Whorl

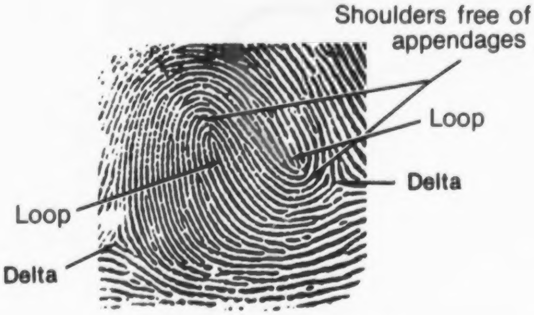
Shoulders free of appendages
Loop
Delta
Loop
Delta

Figure C-2-58
Double-Loop Whorl

Counterexample: Figure C-2-59 may look like a double-loop whorl, but notice that one side of one loop also forms one side of the other loop. This is an "S" type of core. Therefore, there are **not** two separate loops. What this figure actually shows is a plain whorl because it has two deltas, a ridge making a circuit, and a recurve that could touch an imaginary line drawn between the two deltas.

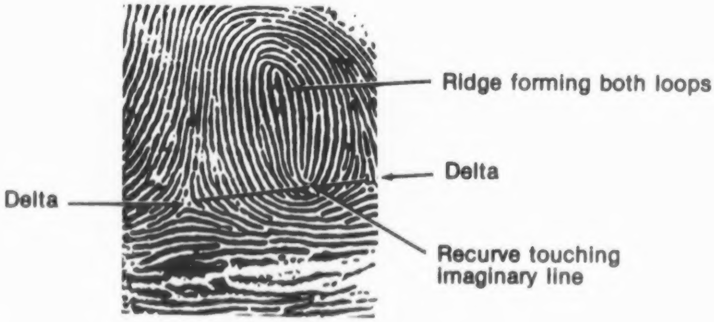
Ridge forming both loops
Delta
Delta
Recurve touching imaginary line

Figure C-2-59
Plain Whorl Rather than Double-Loop Whorl

Now look at Figure C-2-60. Although there are two deltas and two sets of shoulders, all the recurves of the loop on top are spoiled by appendages. This pattern would be classified as a loop.

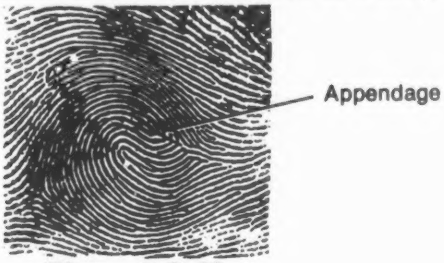

Figure C-2-60
Loop Rather than Double-Loop Whorl

Accidental Whorl

This type of whorl must have at least two deltas and may combine any two patterns **except** the plain arch. An accidental whorl may be made up of combinations such as these:

1. a loop and a tented arch (In this combination, the loop must be **over** the tented arch as shown in Figure C-2-61.)
2. a loop and a whorl
3. a loop and a central-pocket loop
4. a double loop and a central-pocket loop

Examples: Figures C-2-61 through C-2-64 show accidental whorls which are combinations of a loop and other patterns.

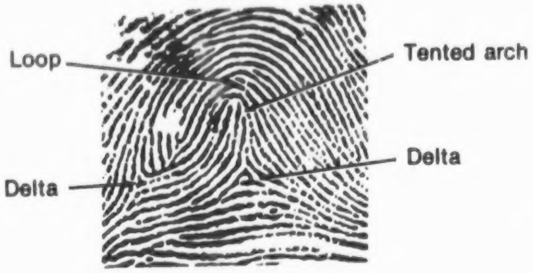

Figure C-2-61
Accidental Whorl
(Combination of Loop and Tented Arch)

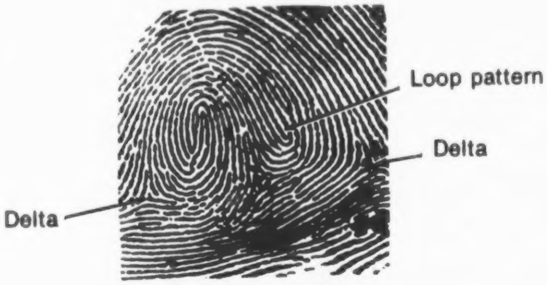

Figure C-2-62
Accidental Whorl
(Combination of Loop and Plain Whorl)

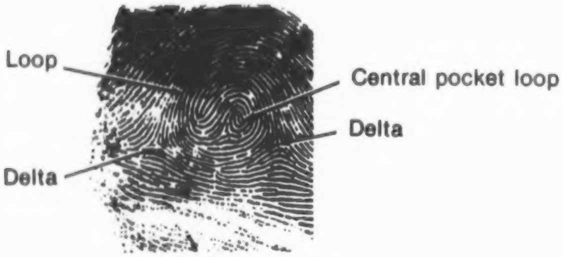

Figure C-2-63
Accidental Whorl
(Combination of Loop and Central-Pocket-Loop Whorl)

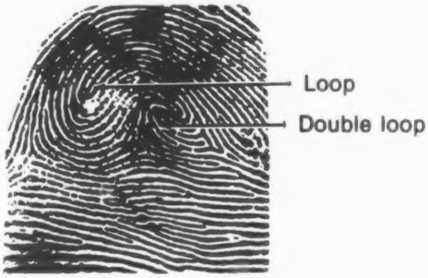

Figure C-2-64
Accidental Whorl
(Combination of Loop and Double-Loop Whorl)

Counterexample: Figure C-2-65 shows a fingerprint which has some upthrust ridges **above** a loop-type formation. Therefore, this is not an accidental whorl. This pattern would be classified as a loop pattern referenced to a whorl (/?W).

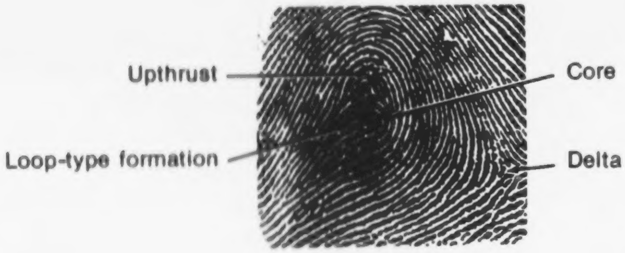

Figure C-2-65
Loop Pattern Referenced to a Whorl

Whorl Tracing

Once you have identified a fingerprint as a whorl pattern, you should trace the path of ridges from the left delta to the right delta. You can then assign a letter value to the particular whorl pattern for classification purposes. When you trace ridges of whorl patterns, use the following procedures as a general guideline.

STEP 1: Identify the left and right deltas.

If there are three or more deltas, identify the extreme left delta and the extreme right delta.

STEP 2: Locate the ridge running from the lower side of the left delta.

STEP 3: Trace this ridge from the left delta to the right delta.

- If the ridge being traced ends, drop down to the next lower ridge and continue tracing (see Figure C-2-66).

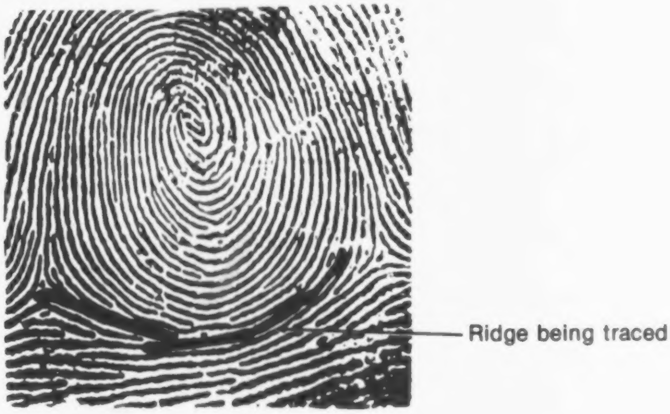

Figure C-2-66
Tracing Next Lower Ridge when Traced Ridge Ends

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- If the ridge being traced bifurcates, trace the lower fork (see Figure C-2-67).

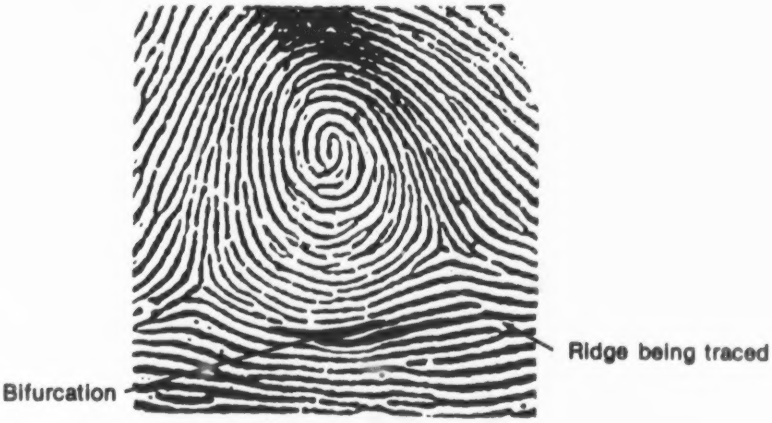
Ridge being traced
Bifurcation

Figure C-2-67
Tracing Lower Fork when Ridge Bifurcates

STEP 4: When the traced ridge reaches a point opposite or nearest the right delta, carefully examine the ridge formation at the point.

- If the traced ridge falls above or passes **inside** the right delta with three or more ridges intervening between the traced ridge and the delta (as shown in Figure C-2-68), the pattern is an inner whorl. Assign the letter "I" to the pattern.

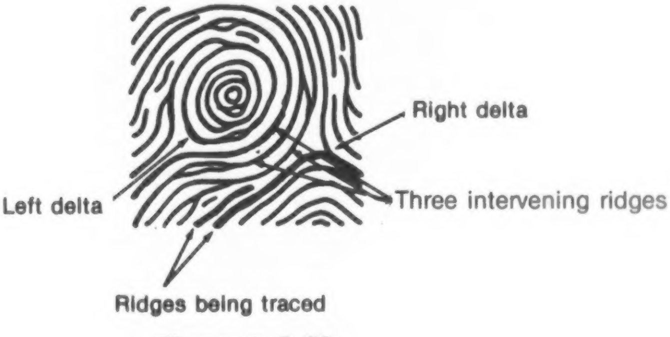
Right delta
Left delta
Three intervening ridges
Ridges being traced

Figure C-2-68
Inner Whorl (I)

- If the traced ridge falls below or **outside** the right delta at the nearest point with three or more ridges intervening (as shown in Figure C-2-69), the pattern is outer whorl. Assign the letter "O" to the pattern.

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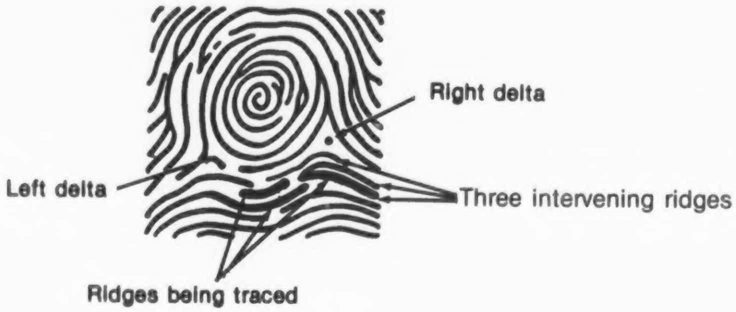
Right delta
Left delta
Three intervening ridges
Ridges being traced

Figure C-2-69
Outer Whorl (O)

- Assign the letter "M" for all other tracings of whorls. For example, if the ridge being traced reaches a point opposite the right delta with **two or less ridges** intervening either inside or outside the right delta, the pattern is a "meeting whorl" and should be assigned the letter "M" (see Figure C-2-70).

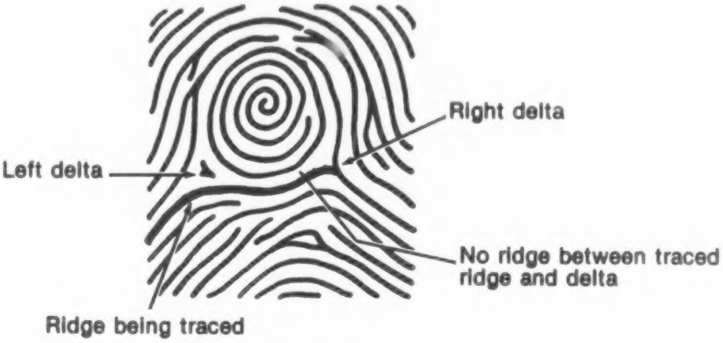
Right delta
Left delta
No ridge between traced ridge and delta
Ridge being traced

Figure C-2-70
Meeting Whorl (M)

Summary

In order to be classified as a whorl pattern, a fingerprint impression must have: (1) at least two deltas and (2) a recurve in front of each delta.

There are four types of whorl patterns: plain, central-pocket loop, double loop, and accidental. Regardless of the subtypes, all whorl patterns are designated with the symbol "W" on the card below the pattern.

In addition to the symbol "W," you assign all whorl patterns a letter designation of "I," "O," or "M" by tracing the ridge or ridges running from the left delta to the right delta.

Now complete the review questions beginning on the next page.

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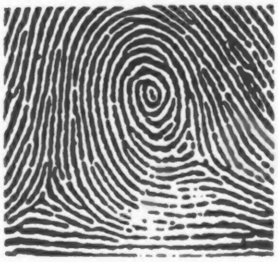
Write your answers on a separate sheet of paper.

1. List **four** types of whorl patterns.

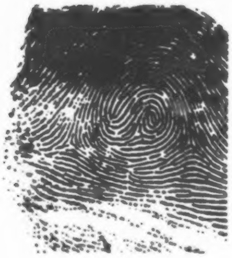
2. List **four** criteria for a plain whorl pattern.

3. The fingerprint impression shown below has two deltas, with one ridge making a complete circuit, the recurving ridges in front of the innermost delta free of appendages, and the imaginary line **not** touching any of the recurving ridges within the inner pattern area. What type of fingerprint is this?



a. plain whorl
b. central-pocket-loop whorl
c. tented arch
d. ulnar loop

4. The fingerprint impression shown below has two deltas and is a combination of a loop and central-pocket-loop whorl. What type of fingerprint is this?



a. double-loop whorl
b. radial loop
c. ulnar loop
d. accidental whorl

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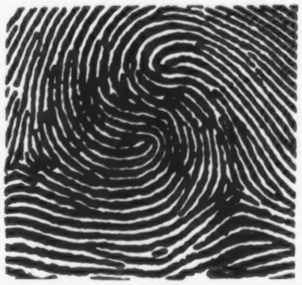
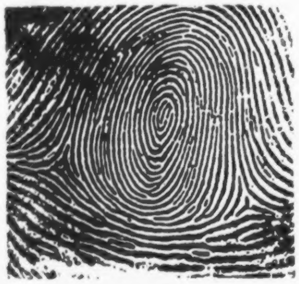
5. The following illustrations show each of the four types of whorl patterns. Write the letters **a-d** on your paper, and write the name of each fingerprint type beside the letters.

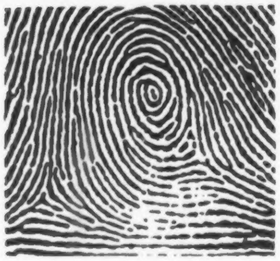
a.



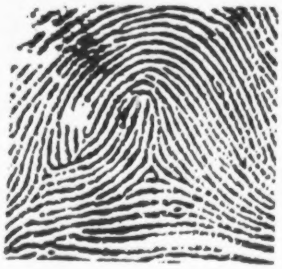
c.



b.



d.



6. In which of the following sequences (**a-d**) would you trace ridges of a whorl pattern? (Read the four steps listed I-IV, and then choose the letter of the correct sequence.)

STEPS:

I. Locate the ridge running from the lower side of the left delta.
II. When the traced ridge reaches a point opposite (or nearest) the right delta, examine carefully the ridge formation at that point.
III. Identify the left and the right deltas.
IV. Trace the ridge from the left delta to the right delta.

a. **I → II → III → IV**
b. **IV → III → II → I**
c. **III → IV → II → I**
d. **III → I → IV → II**

7. If the ridge being traced ends, what should you do?

a. Stop tracing and examine the ridge formation at that point.
b. Drop down to the next lower ridge and continue tracing.
c. Go to the next higher ridge and continue tracing.
d. Skip to the ridge at the right delta.

8. If the ridge being traced bifurcates, what should you do?

   a. Trace the lower fork.
   b. Trace the higher fork.
   c. Trace either fork.
   d. Stop tracing and examine the ridge formation at that point.

9. If the traced ridge passes inside the right delta, with three ridges intervening between the traced ridge and the delta, the pattern is:

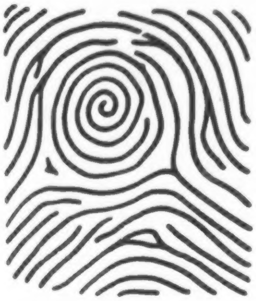
   a. an inner whorl.
   b. an outer whorl.
   c. a meeting whorl.
   d. an accidental whorl.

10. If the traced ridge falls below the right delta at the nearest point, with three or more ridges intervening, the pattern is:

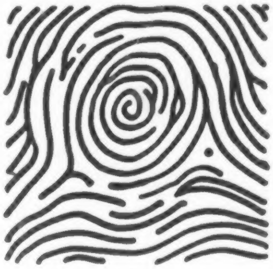
    a. an inner whorl.
    b. an outer whorl.
    c. a meeting whorl.
    d. an accidental whorl.

11. The following illustrations show an inner whorl, an outer whorl, and a meeting whorl. Write the letters **a-c** on your paper. Then write the name for each type by the letter.

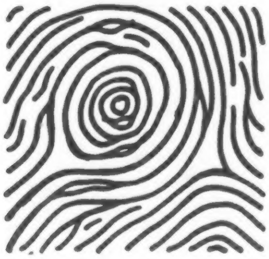
a.



c.



b.



Check your answers with the correct ones provided in the answer key. Then do the practical exercise on the next page.

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Practical Exercise (VI: C-2d)

Examine the three fingerprint cards you have and identify whorl patterns and specific types of whorl patterns, then assign a letter designation (**I, O,** or **M**) to each type of whorl pattern by tracing the ridge or ridges from the left delta to the right delta. You may need a magnifying glass. Check your work with your instructor.

After discussing your work with your instructor, keep these cards. Go on to the next part of this section (VI: C-2).

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Recording Pattern Types and Value Symbols

At this point you should be able to identify pattern types of fingerprints. Now you will learn how to record these pattern types and their value symbols.

You have previously learned to record an individual's personal history, take his/her photograph, roll fingerprints on an identification card, and identify the fingerprint patterns. The next procedure is to record pattern types and value symbols on the card using the following steps as a general guideline. Recording patterns is sometimes referred to as "blocking" because you record the identifying data in individual fingerprint blocks.

STEP 1: Memorize the following pattern type symbols:

Arch (plain):	**A** for **index** fingers **a** for all other fingers
Tented Arch:	**T** for **index** fingers **t** for all other fingers
Radial Loop:	**R** for **index** fingers **r** for all other fingers
Whorl:	**W** for all fingers
Ulnar Loop:	a diagonal line slanting in the direction of flow, either / or \

STEP 2: Identify each fingerprint and record the appropriate symbols in each block provided below the fingerprint as shown in Figure C-2-71.

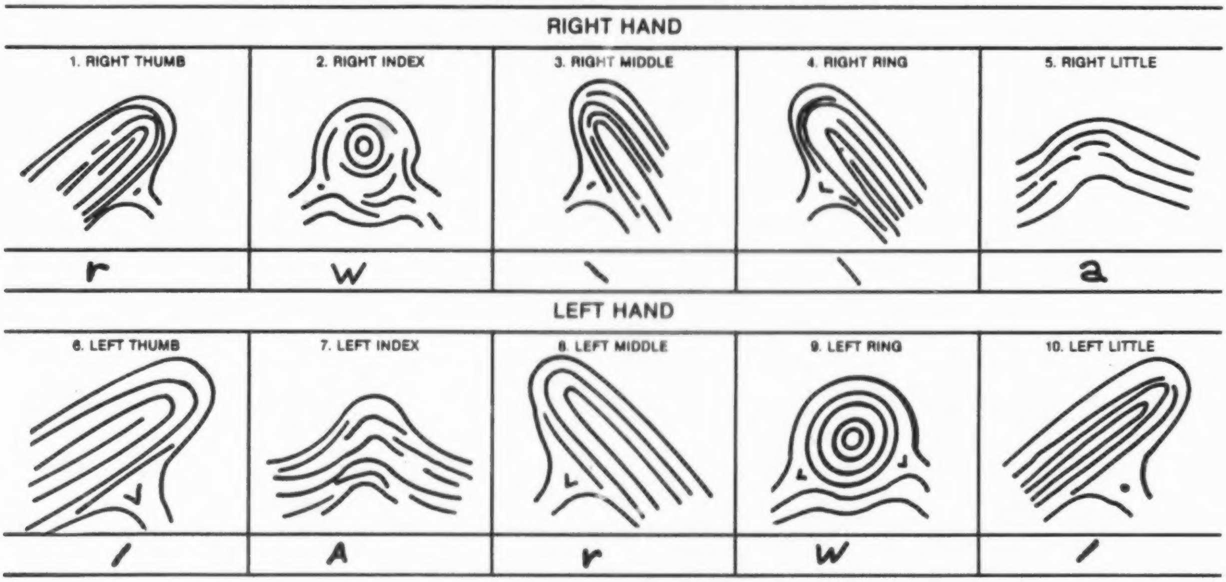
RIGHT HAND
1. RIGHT THUMB
2. RIGHT INDEX
3. RIGHT MIDDLE
4. RIGHT RING
5. RIGHT LITTLE
r
W
\
\
a
LEFT HAND
6. LEFT THUMB
7. LEFT INDEX
8. LEFT MIDDLE
9. LEFT RING
10. LEFT LITTLE
/
A
r
W
/

Figure C-2-71
Pattern Identification Symbols Recorded on a Fingerprint Card

The fingerprint patterns shown in Figure C-2-71 are identified as follows:

1. right thumb
   r - radial loop

2. right index
   W - whorl

3. right middle finger
   \ - ulnar loop (direction of flow is toward right-hand side)

4. right ring finger
   \ - ulnar loop

5. right little finger
   a - plain arch

6. left thumb
   / - ulnar loop

7. left index finger
   A - plain arch (capital **A** used for index finger)

8. left middle finger
   r - radial loop

9. left ring finger
   W - whorl (capital **W** used for whorl pattern)

10. left little finger
    / - ulnar loop

STEP 3: For all **loop**-type patterns (symbols **r, R, /,** or \) make ridge counts and place this number of ridges in the upper right corner in the finger block as shown in Figure C-2-72.

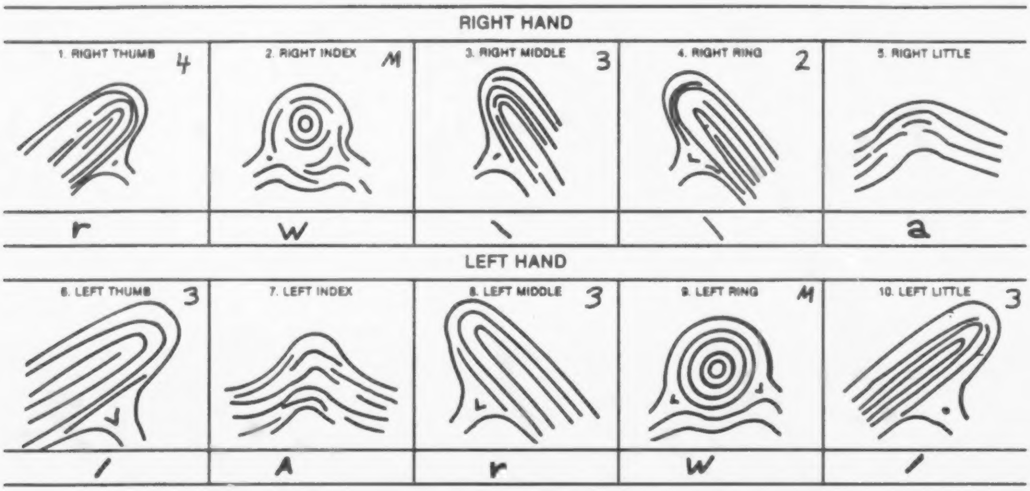
RIGHT HAND
1. RIGHT THUMB
4
2. RIGHT INDEX
M
3. RIGHT MIDDLE
3
4. RIGHT RING
2
5. RIGHT LITTLE
r
W
\
\
a
LEFT HAND
6. LEFT THUMB
3
7. LEFT INDEX
8. LEFT MIDDLE
3
9. LEFT RING
M
10. LEFT LITTLE
3
/
A
r
W
/

Figure C-2-72
Pattern Identification, Ridge Count, and Ridge Tracings Recorded on a Fingerprint Card

STEP 4: For all **whorl**-type patterns (symbol **W**), make ridge tracings and place the letter indicating the tracing (**I, M,** or **O**) in the finger block in the upper right corner as shown in Figure C-2-72.

Value symbols for each fingerprint shown in Figure C-2-72 are as follows:

1. right thumb
   4 - four ridge counts between delta and core
2. right index
   M - whorl tracing is "meeting"
3. right middle finger
   3 - three ridge counts between delta and core
4. right ring finger
   2 - two ridge counts
5. right little finger
   no symbol - neither loop nor whorl
6. left thumb
   3 - three ridge counts
7. left index finger
   no value symbol - neither loop nor whorl
8. left middle finger
   3 - three ridge counts
9. left ring finger
   M - whorl tracing is "meeting"
10. left little finger
   3 - three ridge counts

Now complete the review questions beginning on the next page.

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Review Questions (VI: C-2e)

Write your answers on a separate sheet of paper.

1. Symbols for index fingers are:

   a. all capital letters.
   b. all capital letters except ulnar loops.
   c. all small letters.
   d. all small letters except ulnar loops and whorls.

2. What is the symbol for a whorl-type pattern?

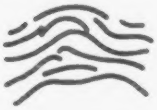
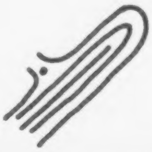
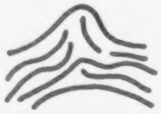
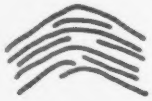
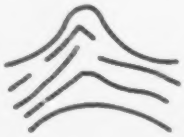
   a. **w** for all fingers
   b. **W** for all fingers
   c. **W** for index fingers and **w** for the other fingers
   d. **w** for index fingers and **W** for the other fingers

3. Choose **two** symbols given below that are used for ulnar loops.

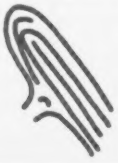
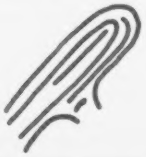
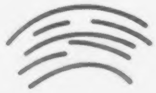
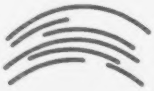
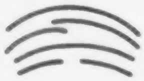
   a. **U** for index fingers and **u** for other fingers
   b. **u** for all fingers
   c. /
   d. \

4. Write the numbers **1–10** on your paper. Then by each number on your paper, record the appropriate symbol for the fingerprint in each block on the card below.

RIGHT HAND

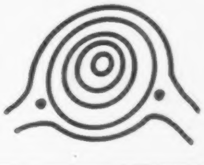
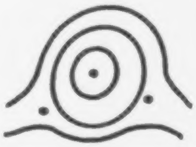
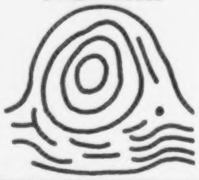
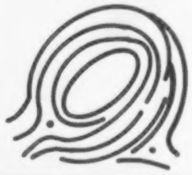
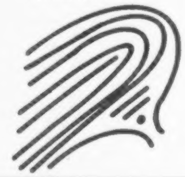
1. RIGHT THUMB	2. RIGHT INDEX	3. RIGHT MIDDLE	4. RIGHT RING	5. RIGHT LITTLE
				

LEFT HAND

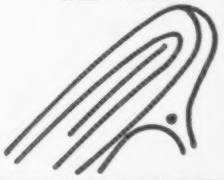
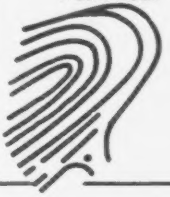
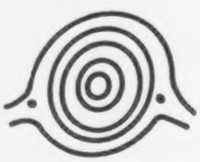
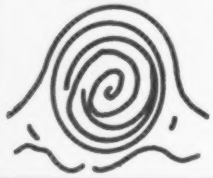
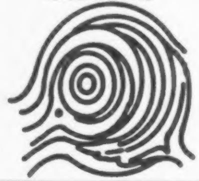
6. LEFT THUMB	7. LEFT INDEX	8. LEFT MIDDLE	9. LEFT RING	10. LEFT LITTLE
				

5. Write the numbers **1–10** on your paper. Then by each number on your paper, record the appropriate symbol for the fingerprint in each block on the card below. Then write ridge counts for loops and whorl tracings for whorls beside the appropriate numbers.

RIGHT HAND

1. RIGHT THUMB	2. RIGHT INDEX	3. RIGHT MIDDLE	4. RIGHT RING	5. RIGHT LITTLE
				

LEFT HAND

6. LEFT THUMB	7. LEFT INDEX	8. LEFT MIDDLE	9. LEFT RING	10. LEFT LITTLE
				

Check your answers with the correct ones provided in the answer key. Then do the practical exercise on the next page.

Practical Exercise (VI: C-2e)

Record the symbols for fingerprint patterns on the three fingerprint cards you have. Record also the ridge counts for loop patterns and ridge tracings for whorl patterns. You may need to use a magnifying glass. Then check and discuss your work with your instructor.

If you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: C-2).

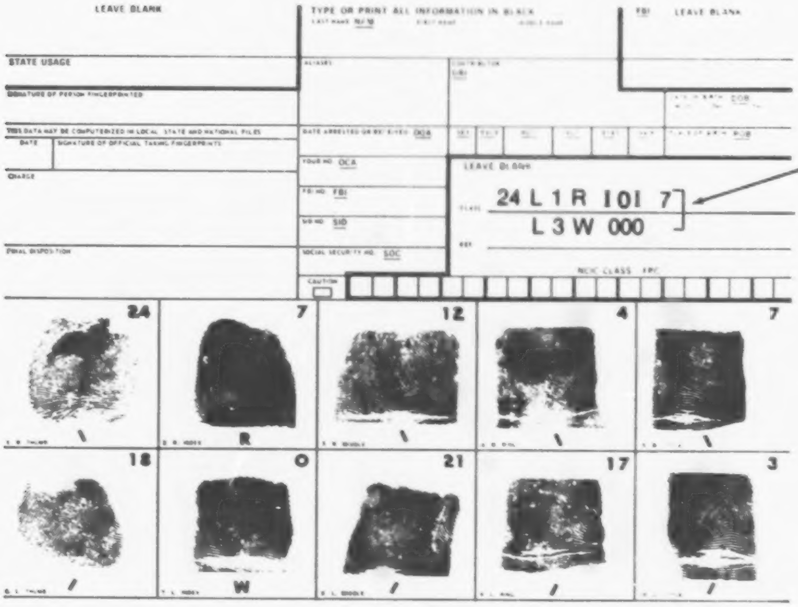
Block VI: Criminalistics
Unit C: Fingerprint Technology
Section 3: Classification Formulas

Ask your instructor for the pretest for this section (VI: C-3). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

When a law enforcement agency collects a large number of fingerprints, it often becomes difficult to file and search them. In order to make filing and searching easier, a classification formula is used. This formula is a specific arrangement of the symbols representing the fingerprint pattern types, ridge counts, and whorl tracings.

Once you have determined the formula, you record it on the classification line at the top right of the fingerprint card as shown in Figure C-3-1. The symbols above the line are referred to as the "numerator" and those below the line are called the "demoninator."



LEAVE BLANK
TYPE OR PRINT ALL INFORMATION IN BLACK
FBI LEAVE BLANK
STATE USAGE
LEAVE BLOCK
NCIC CLASS
CAUTION
24
7
12
4
7
R
18
0
21
17
3
W

24 L 1 R 101 7
L 3 W 000

Classification formula

Figure C-3-1
Classification Formula Recorded on the Fingerprint Card

The classification process involves determining classification formulas, sequencing, filing, searching, comparing, classifying scars and amputations, identifying the dead, referencing, and so forth. This section, however, will focus on just the basic classification formula since it is a skill required of every police investigator, crime scene investigator, prosecuting attorney, defense attorney, and corrections officer. It will give you a foundation for beginning the serious study of fingerprints if you are interested in the vocational field of fingerprint technician.

The basic classification formula you will study is composed of six divisions: key, major, primary, secondary, subsecondary, and final (see Figure C-3-2).

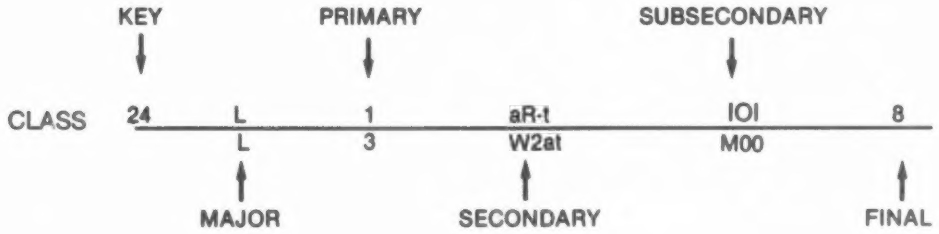

KEY
PRIMARY
SUBSECONDARY
CLASS
24
L
1
aR-t
IOI
8
L
3
W2at
M00
MAJOR
SECONDARY
FINAL

Figure C-3-2
Six Divisions of a Classification Formula

In this section, you will learn how to determine these six basic classification divisions. You will also need to use the five sets of fingerprints you made for your practical exercises.

Remember: Fingerprint technology is an exact science, and accuracy is vitally important in classification.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Name six divisions of the classification formula in the order of their appearance on the fingerprint card.
2. Identify the tasks involved in determining the value of these six divisions: key, major, primary, secondary, subsecondary, and final.
3. Determine and record the value of each classification division.
4. Determine and record the classification formula as it should appear on the fingerprint card.

Performance Objectives

Given two sets of fingerprint cards which you produced for the performance test in the previous section, record the classification formulas in the correct places. You will be evaluated on the following tasks. Your performance should be rated "A" (acceptable) for **all** tasks on **both** cards.

Tasks:

1. Record six divisions in the correct sequence.
2. Record the key classification in the numerator (numerical symbol).
3. Record the major, secondary, and subsecondary classifications for both numerator and denominator or leave a space blank if there is no fingerprint relevant to that particular division for the classification.
4. Record the final classification in the numerator (numerical symbol).
5. Complete the tasks in an acceptable amount of time.

Recording Classification Formulas

When determining and recording the classification formula, use the following procedures as a general guideline:

STEP 1: Make sure the pattern types are recorded correctly at the bottom of each block on the fingerprint card.

- Index fingers should have the appropriate capital letters (except for the **ulnar loop**).
- All ulnar loops should be designated by a diagonal line slanting in the direction of the loop.
- All whorls should have the letter **W**.
- All other fingers should be designated by the appropriate small letters, such as **a** for plain arch, **t** for tented arch, and **r** for radial loop.

STEP 2: Make sure that the ridge counts for all loop patterns are recorded appropriately in the fingerprint blocks.

STEP 3: Make sure that the whorl tracing symbols are recorded for all whorl patterns in the fingerprint blocks.

STEP 4: Determine the value of the **key**, a division of the classification formula. To do this, follow these steps:

- Find the loop pattern appearing first on the fingerprint card, beginning with the right thumb and excluding the little fingers.
- Count the ridges of that loop-pattern fingerprint.
- Record the number of ridges at the far left, above the classification line on the fingerprint card.

Example: In Figure C-3-3 on the next page, the first loop is the right thumb and the ridge count is 24. Therefore, the number 24 is placed at the far left of the classification line.

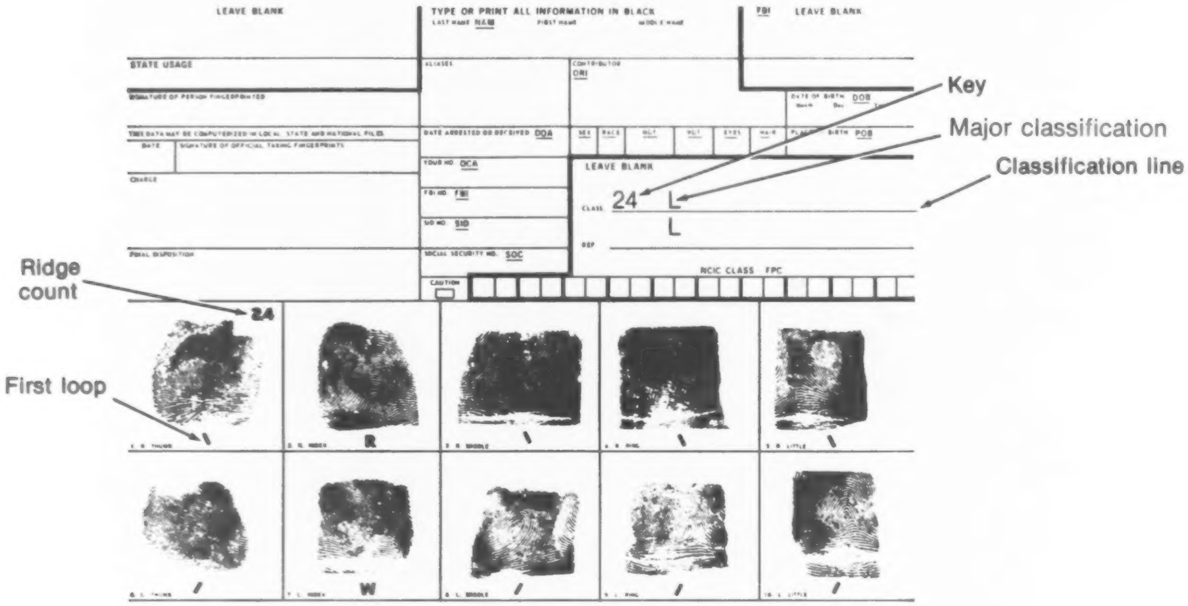


Figure C-3-3
Key Recorded on the Classification Line

STEP 5: Determine the value of the major classification by looking at both thumb impressions.

- If both thumbs are **loops** (as shown in Figure C-3-3), look at the ridge counts recorded in the fingerprint blocks and convert them into symbols (**S** for small, **M** for medium, and **L** for large) using the following standards.

  1. Right thumb symbols are written above the line.

     right thumb ridge counts (when left thumb ridge count is 16 or less):

     S = 1-11
     M = 12-16
     L = 17 and over

     right thumb ridge counts (when left thumb ridge count is 17 and over):

     S = 1-17
     M = 18-22
     L = 23 and over

  2. Left thumb symbols are written below the line.

     left thumb ridge counts:

     S = 1-11
     M = 12-16
     L = 17 and over

Example: In Figure C-3-3, both thumbs are loops, and the left thumb's ridge count is more than 17. Therefore, the right thumb's ridge count of 24 is converted to the symbol **L**, and the left thumb's ridge count of 18 is also **L**. The right thumb's symbol **L** is recorded **above** the classification line (numerator) and the left thumb's symbol **L** is recorded **below** the line (denominator).

- If both thumbs are **whorls**, as show in Figure C-3-4, write in the symbols for whorl tracing (**I, M,** or **O**) with the right thumb **over** the line (numerator) and the left thumb **below** the line (denominator).

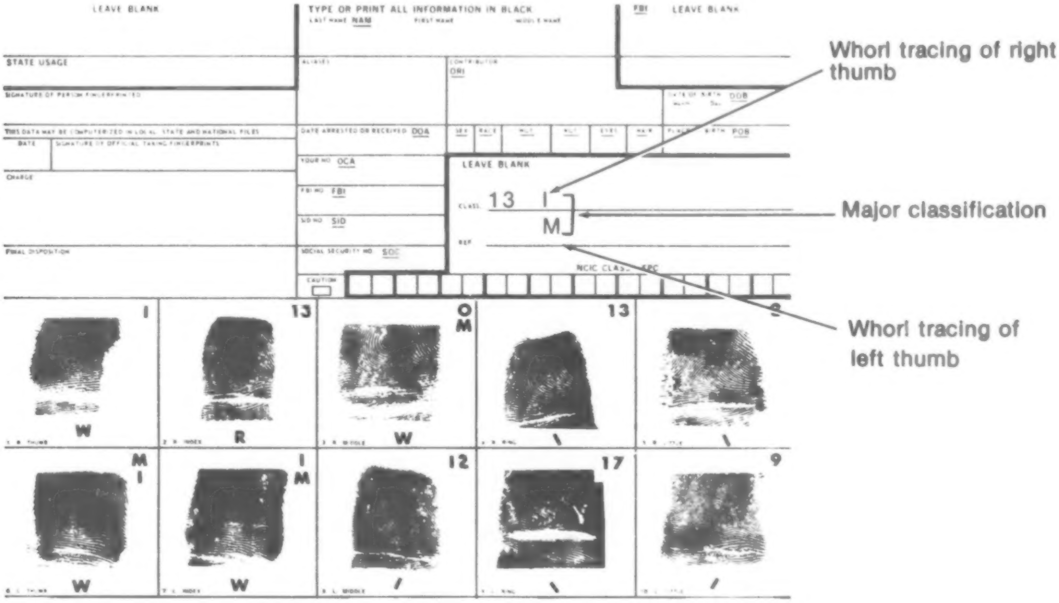
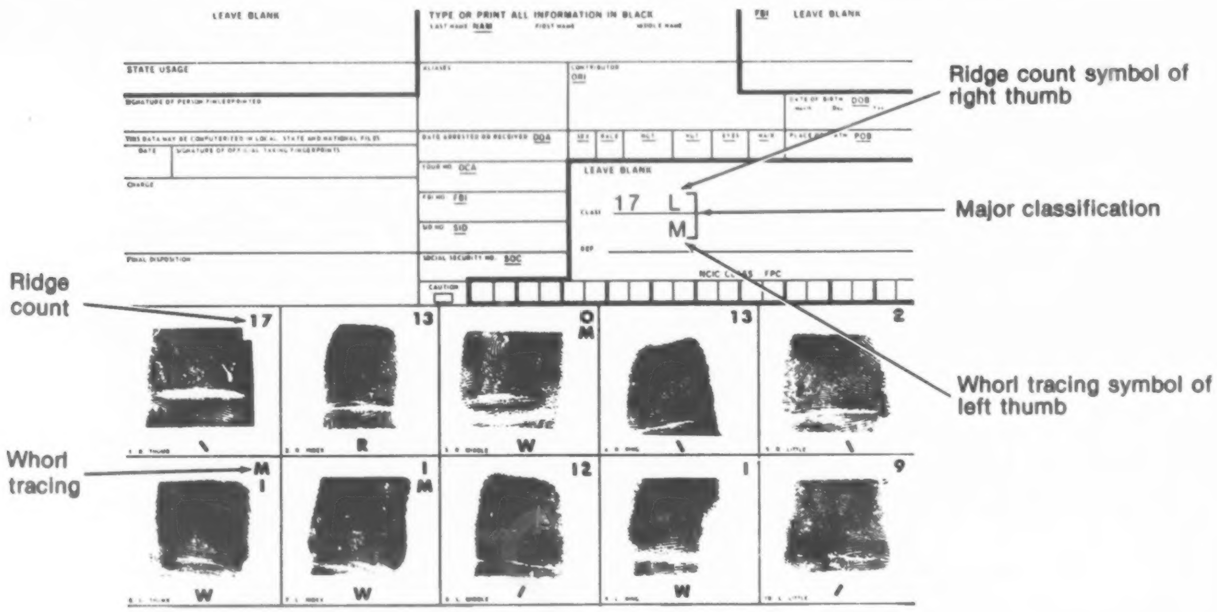

LEAVE BLANK
TYPE OR PRINT ALL INFORMATION IN BLACK
NAM
FBI
LEAVE BLANK
STATE USAGE
ORI
DOB
DOA
POB
OCA
LEAVE BLANK
FBI
CLASS. 13 I
M
SID
SOC
NCIC CLASS
CAUTION
Whorl tracing of right thumb
Major classification
Whorl tracing of left thumb
I
13
O
M
13
W
R
W
\
\
M
I
I
M
12
17
9
W
W
/
\
/

Figure C-3-4
Major Classification for Whorl Pattern
for Both Thumbs

- If one thumb is a loop and another thumb is a whorl, use the whorl tracing symbol for the thumb whorl pattern and the symbol for loop ridge count (**S, M,** or **L**) for the thumb loop pattern.

Example: Figure C-3-5 on the next page shows a fingerprint card with thumb prints having a combination of loop and whorl patterns: loop-pattern right thumb and whorl-pattern left thumb. The symbol for ridge count 17 is **L**, and the whorl tracing symbol for the left thumb is **M**. Therefore, **L** (right thumb) is written above the classification line, and **M** (left thumb) is recorded below the line.

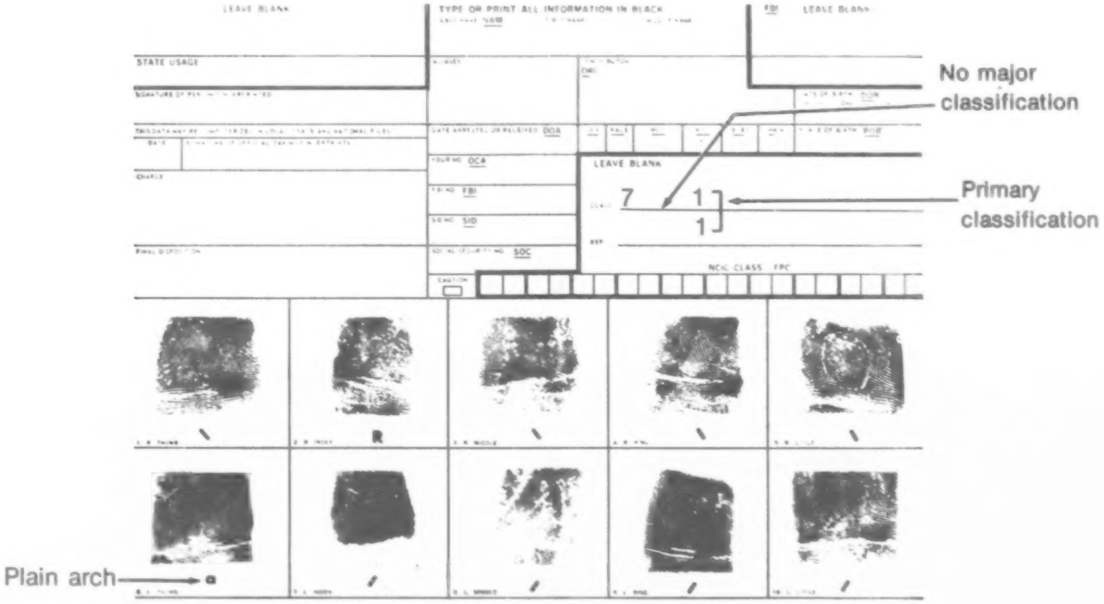


LEAVE BLANK
TYPE OR PRINT ALL INFORMATION IN BLACK
FBI LEAVE BLANK
STATE USAGE
LEAVE BLANK
CLASS 17 L
M
REF
NCIC CLASS FPC
Ridge count symbol of right thumb
Major classification
Ridge count
Whorl tracing
Whorl tracing symbol of left thumb
17
13
O
M
13
2
\
R
W
\
\
M
I
I
M
12
I
9
W
W
/
W
/

Figure C-3-5
Major Classification with Loop-Pattern Right Thumb and Whorl-Pattern Left Thumb

Sometimes two whorl tracing symbols are listed, as for the left thumb in Figure C-3-5, for a reference. This is done so that the print card can be searched under both classifications in the master file. The need for this reference is due to inking pattern types and skin conditions.

- If any thumb impression is designated by small letter symbols (**a** or **t**), leave the major classification space blank, as shown below in Figure C-3-6.



LEAVE BLANK
TYPE OR PRINT ALL INFORMATION IN BLACK
FBI LEAVE BLANK
STATE USAGE
LEAVE BLANK
CLASS 7 1
1
REF
NCIC CLASS FPC
No major classification
Primary classification
Plain arch
\
R
\
\
\
a
/
/
/
/

Figure C-3-6
Major Classification with Loop-Pattern Right Thumb and Plain Arch-Pattern Left Thumb

Review for a moment the following rules for major classification:

1. Include only whorl-pattern and loop-pattern thumbs.

2. Record the symbols for the right thumb above the classification line and the left thumb below the line.

3. Record them next to the key and just to the left of the primary classification.

4. If both thumbs are whorls, record the whorl tracing symbols (**I, O, M**) for each thumb.

5. If both thumbs are loops, convert the ridge counts into the symbols **S, M,** or **L.**

6. If one thumb is a loop and another thumb is a whorl, use the whorl tracing symbol for the whorl-pattern thumb and the ridge count symbol for the loop-pattern thumb.

7. If either or both thumbs have a small letter symbol (**a, t**), do **not** enter a major classification.

STEP 6: Determine the value of the primary classification. To do this, follow these steps:

- Find the whorl-pattern fingerprints because primary classification involves whorl-type patterns only.

Remember: Whorl-pattern fingerprints include all types of whorls: plain whorls, central-pocket loops, double loops, and accidentals.

- Find the numerical value assigned to each finger for the purpose of primary classification as shown on the chart below and in Figure C-3-7.

Finger Numbers	**Values**
1 and 2	16
3 and 4	8
5 and 6	4
7 and 8	2
9 and 10	1

95.)

PERSONAL IDENTIFICATION
INDUSTRIAL

NAME

CLASS.

No.
F.B.I. No.
B. C. I. No.

REF.

Impressions taken by
Date
BY

RIGHT HAND

1. RIGHT THUMB 16 D	N 2. RIGHT INDEX 16	3. RIGHT MIDDLE 8 D	N 4. RIGHT RING 8	5. RIGHT LITTLE 4 D

LEFT HAND

N 6. LEFT THUMB 4	7. LEFT INDEX 2 D	N 8. LEFT MIDDLE 2	9. LEFT RING 1 D	N 10. LEFT LITTLE 1

Figure C-3-7
Numerical Values as Numerator and Denominator for Primary Classification of Each Finger

NOTE: **D** stands for denominator (odd-numbered fingers); **N** stands for numerator (even-numbered fingers); numbers indicate assigned values.

- Compute the numerator of the primary classification. To do this, add numerical values of the whorl patterns appearing in the even-numbered fingers, **plus one.**
- Compute the denominator of the primary classification. To do this, add the numerical values of the whorl patterns appearing in the odd-numbered fingers, **plus one.**

Example 1: In Figure C-3-8, the numerator is one because there is no whorl pattern appearing in even-numbered fingers. Therefore, zero plus one equals one. The denominator is three, because there is one whorl (finger number 7) with a numerical value of two; two plus one equals three.

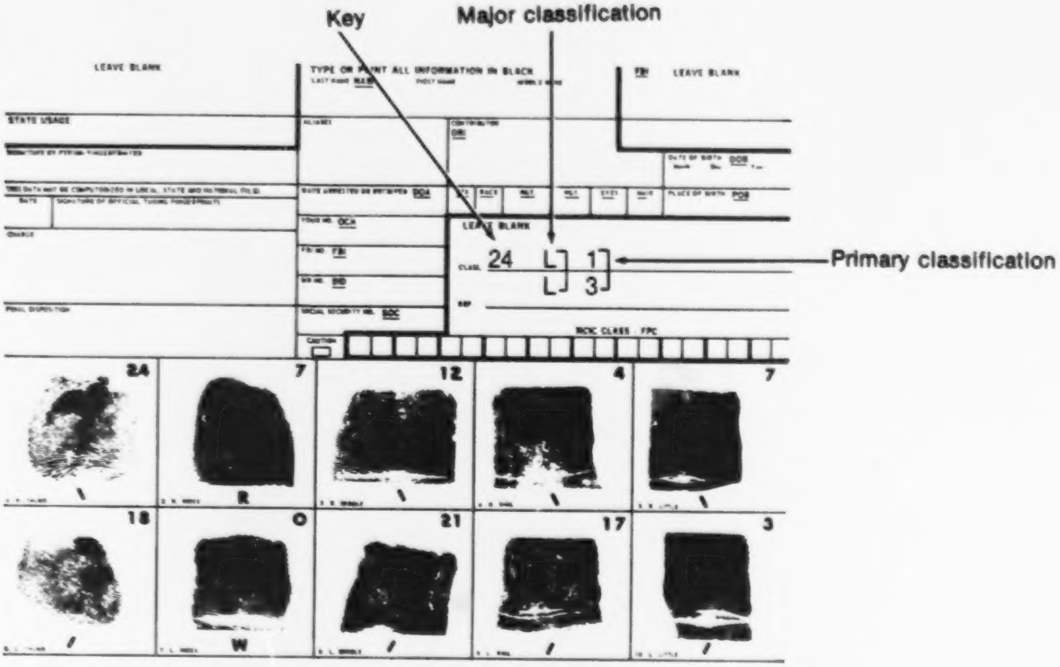
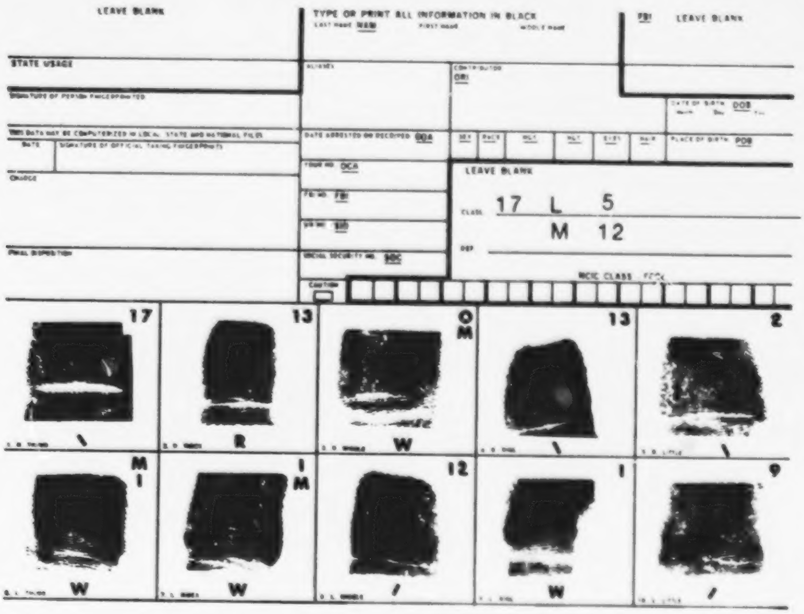

Key
Major classification
24 L 1
L 3
Primary classification
24
7
12
4
7
R
18
0
21
17
3
W

Figure C-3-8
Primary Classification with One Whorl
Pattern on Finger No. 7

Example 2: Figure C-3-9 that follows shows four whorls in fingers 3, 6, 7, and 9. You should compute the numerator by adding one to the value of the whorl in finger number 6. The value is four and therefore the numerator is five. For the denominator, you should add together the values of fingers 3, 7, and 9, plus one: the value for finger number 3 is eight, the value for number 7 is two, and the value for number 9 is one. Therefore, the denominator is 12 (eight plus two plus one plus one).



LEAVE BLANK

TYPE OR PRINT ALL INFORMATION IN BLACK

FBI LEAVE BLANK

STATE USAGE

DOB

POB

OCA

FBI

SOC

LEAVE BLANK

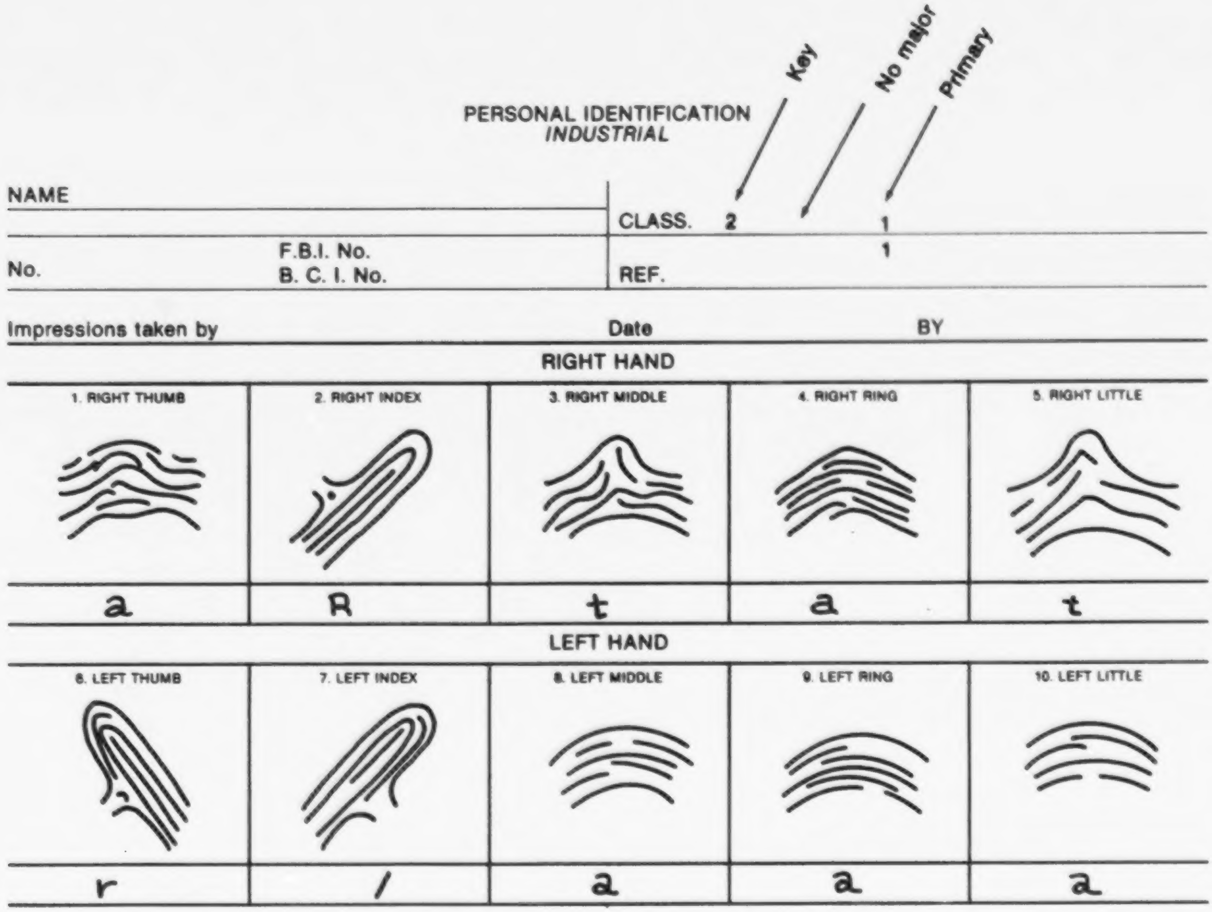
17 L 5
M 12

NCIC CLASS

17
13
O
M
13
2
R
W
M
I
I
M
12
I
9
W
W
W

Figure C-3-9
Primary Classification with Four Whorls

Example 3: Figure C-3-10 on the next page shows a primary classification when none of the fingers is a whorl-type pattern. Both numerator and denominator are one.



PERSONAL IDENTIFICATION
INDUSTRIAL

NAME		CLASS. 2 1 1
No.	F.B.I. No. B. C. I. No.	REF.

Impressions taken by Date BY

RIGHT HAND

1. RIGHT THUMB	2. RIGHT INDEX	3. RIGHT MIDDLE	4. RIGHT RING	5. RIGHT LITTLE
a	R	t	a	t

LEFT HAND

6. LEFT THUMB	7. LEFT INDEX	8. LEFT MIDDLE	9. LEFT RING	10. LEFT LITTLE
r	/	a	a	a

Figure C-3-10
Primary Classification with No Whorl-Pattern Fingerprint

NOTE: Remember the following rules for a primary classification:

1. Primary classification involves only whorl patterns.
2. Each fingerprint block has an assigned numerical value for primary classification.
3. Obtain the denominator of the primary classification by adding together the numerical values of the odd-numbered fingers with whorl patterns, **plus one.**
4. Obtain the numerator by adding together the numerical values of the even-numbered fingers with whorl patterns, **plus one.**

5. This is the only classification which uses even- and odd-numbered fingers for denominators and numerators. The other classifications use the right-hand impressions as the numerator and the left-hand impressions as the denominator.

STEP 7: Determine the value of the secondary classification. To do this, follow the procedures below:

List the letter symbols representing right-hand fingerprint patterns above the line (numerator), using the following rules:

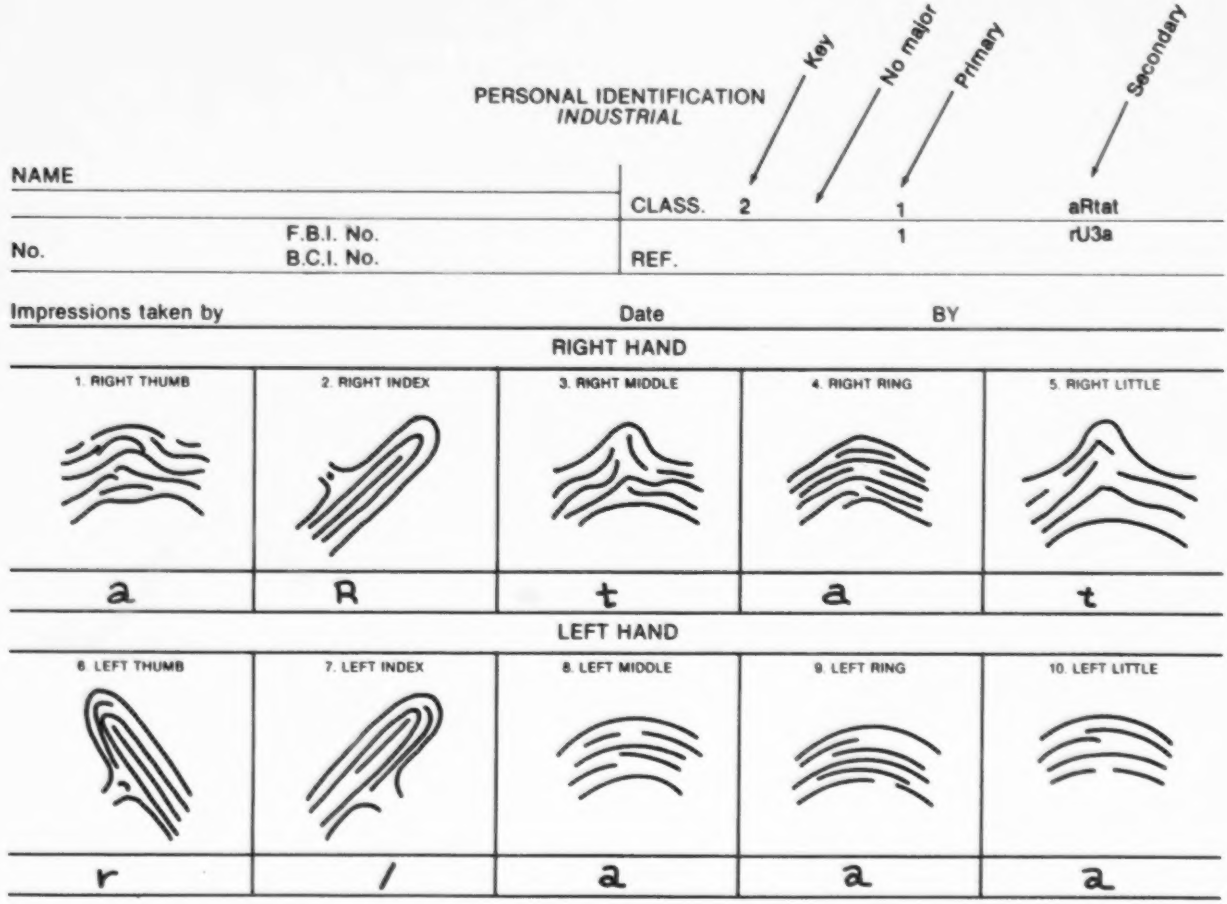
- List them in the same sequence as the fingers appear on the card.
- For **index** fingers, use the capital letters **U** for ulnar loop, **R** for radial loop, **W** for whorl, **A** for plain arch, and **T** for tented arch.
- For other fingers, you should use:
  - a. only small letters appearing in the fingerprint blocks
  - b. a dash (-) when a whorl (**W**) or ulnar loop (/ or \ ) appears between small letters or between small letters and capital letters.
- For a small letter group, when the same types occur immediately adjacent to each other, instead of repeating the small letters, write only the number of occurrences. For example, if left-hand fingers 8, 9, and 10 are plain arches, write **3a** instead of **aaa**.

List the letter symbols representing left-hand fingerprint types below the line (denominator), using the rules listed above.

Example 1: Figure C-3-11 shows the following secondary classification:

$$\frac{\mathbf{aRtat}}{\mathbf{rU3a}}$$

Notice that three plain arches of three consecutive fingers are recorded **3a** instead of **aaa**. Also notice that an ulnar loop-type index is recorded capital **U**.



PERSONAL IDENTIFICATION
INDUSTRIAL

NAME		CLASS.	2		1	aRtat
No.	F.B.I. No. B.C.I. No.	REF.			1	rU3a

Impressions taken by Date BY

RIGHT HAND

1. RIGHT THUMB	2. RIGHT INDEX	3. RIGHT MIDDLE	4. RIGHT RING	5. RIGHT LITTLE
a	R	t	a	t

LEFT HAND

6. LEFT THUMB	7. LEFT INDEX	8. LEFT MIDDLE	9. LEFT RING	10. LEFT LITTLE
r	/	a	a	a

Figure C-3-11
Secondary Classification

Example 2: In Figure C-3-12 on the next page, the left thumb receives a small letter symbol, and the two index fingers receive the secondary classification symbols (**R** and **U**). Since the other fingerprint patterns are ulnar loops, the secondary classification should be as follows:

$$\frac{R}{aU}$$

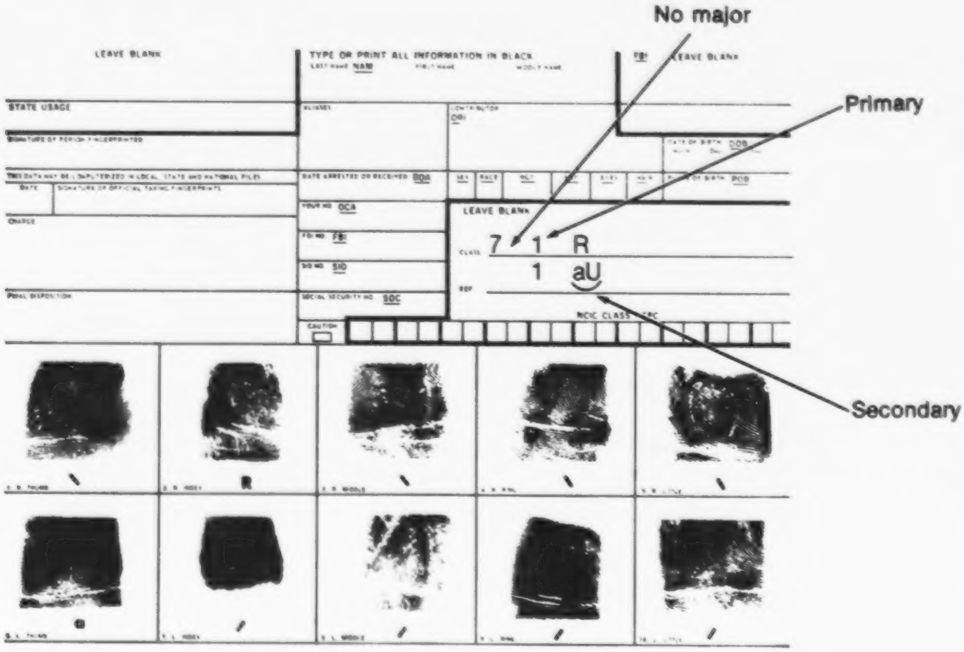
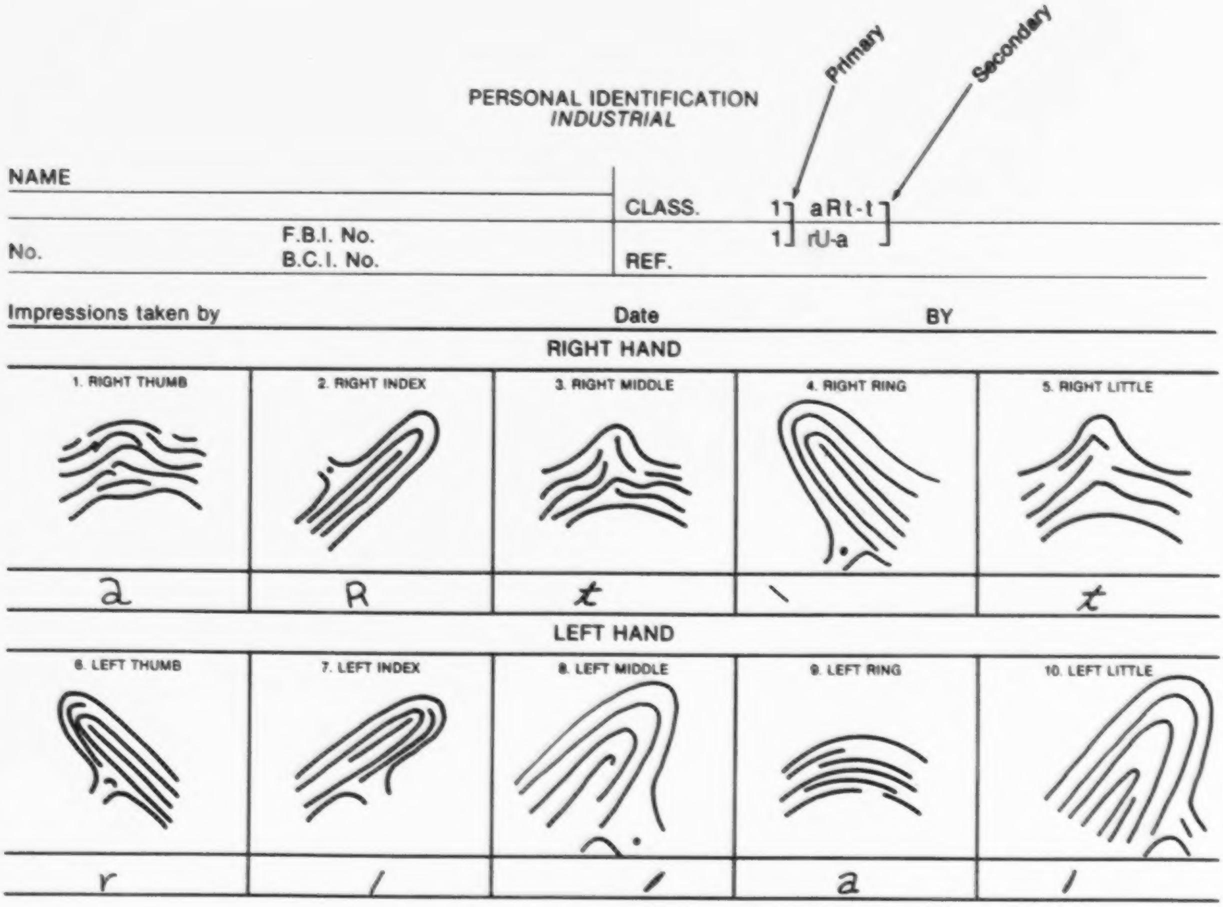


Figure C-3-12
Secondary Classification

Example 3: Figure C-3-13 on the next page shows a set of fingerprints with a secondary classification using dashes:

$$\frac{\text{aRt-t}}{\text{rU-a}}$$

Although the left little finger pattern is an ulnar loop (/), it is not recorded with a dash because it is on the last finger block. A dash is used only when an ulnar loop or a whorl appears **between** an index finger (capital letter symbol) and another finger (small letter symbol), or **between** small-lettered fingers.



PERSONAL IDENTIFICATION
INDUSTRIAL

Primary

Secondary

NAME

No. F.B.I. No. B.C.I. No.

CLASS. $\frac{1}{1}\Big]\ \frac{\text{aRt-t}}{\text{rU-a}}\Big]$

REF.

Impressions taken by Date BY

RIGHT HAND

1. RIGHT THUMB	2. RIGHT INDEX	3. RIGHT MIDDLE	4. RIGHT RING	5. RIGHT LITTLE
a	R	t	\	t

LEFT HAND

6. LEFT THUMB	7. LEFT INDEX	8. LEFT MIDDLE	9. LEFT RING	10. LEFT LITTLE
r	/	/	a	/

Figure C-3-13
Secondary Classification with Dashes

STEP 8: Determine the subsecondary classification.

The subsecondary classification concerns only the three middle fingers of each hand and the grouping of only whorls and loops.

Look at the three middle fingerprints of each hand (fingers 2, 3, 4, 7, 8, and 9) to see if they are either whorls or loops:

- If they are **whorls,** record the whorl tracing symbols (**I, M, O**) of the right hand **above** the classification line for numerator, and left hand symbols **below** the line for denominator. Record these symbols to the right of the secondary.
- If they are **loops,** convert the ridge counts of loops into either **I** for small counts or **O** for large counts, using the following chart:

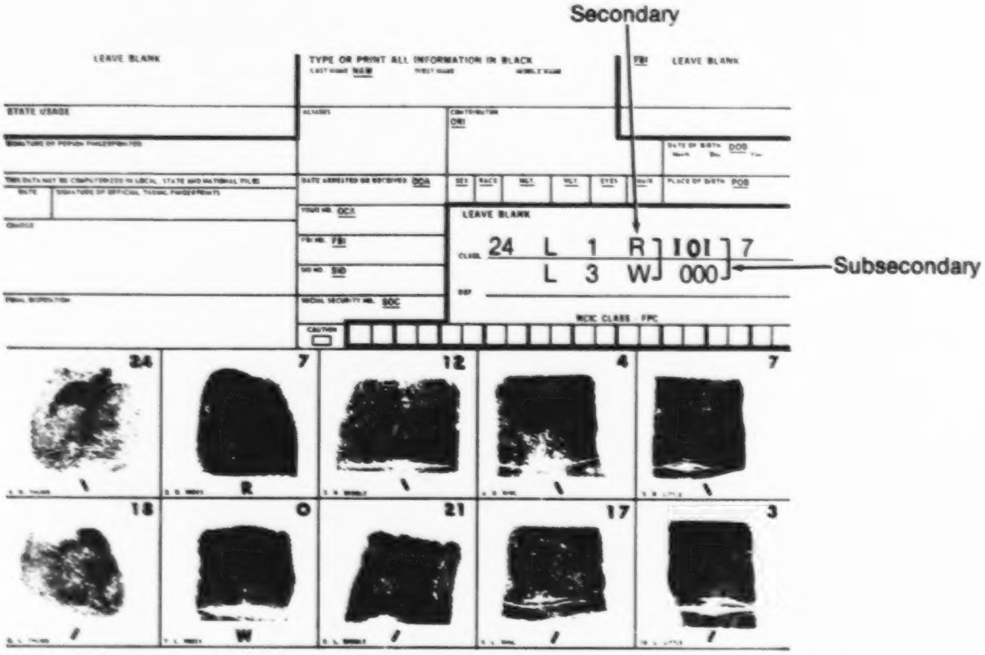
	Ridge Count for Each Finger	Symbol
(1)	Index finger:	
	ridge counts 1-9	I
	10 or more	O
(2)	Middle finger:	
	ridge counts 1-10	I
	11 or more	O
(3)	Ring finger:	
	ridge counts 1-13	I
	14 or more	O

- If all or some of them are small letters (tented arch or plain arch):

  a - plain arch
  t - tented arch
  r - radial loop

Example: Figure C-3-14 shows that the right index is a radial loop, the right middle and ring fingers are ulnar loops, the left index is a whorl, and the left middle and ring fingers are ulnar loops. If you convert the ridge counts of the five loop patterns, using the chart and the whorl tracing of the left index, the subsecondary classification would be the following:

$$\frac{\mathrm{IOI}}{\mathrm{OOO}}$$


Secondary
LEAVE BLANK
TYPE OR PRINT ALL INFORMATION IN BLACK
FBI
LEAVE BLANK
STATE USAGE
LEAVE BLANK
NCIC CLASS - FPC
Subsecondary
24
7
12
4
7
R
18
0
21
17
3
W

24 L 1 R IOI 7
L 3 W OOO

Figure C-3-14
Subsecondary Classification

STEP 9: Determine the value of the final division of the classification formula. To do this, follow this procedure:

The final division of the classification formula involves only a little finger of a loop or whorl pattern. It is a single numerical value recorded at the extreme right of the classification line as the numerator if it is a right little finger and the denominator if it is a left little finger.

- Look at the **right little finger** to see if it is a loop pattern. If it is, record its ridge count at the extreme right of the numerator.

- If the right little finger is not a loop, see if the **left little finger** is a loop. If so, record its ridge count at the extreme right of the denominator.

- If no loops appear in either little finger, see if the **right little finger** is a whorl. If so, count the ridges from left delta to core for the final.

  a. If there are two or more cores, count the ridges from the delta to the core that is the least number of ridges away.

  b. For double loop whorl patterns, count the ridges from the delta to the core of the upright loop. If the loops of a double loop are horizontal, use the nearest core.

- If the right little finger is not a whorl, then see if the left little finger is a whorl. If so, count the ridges from right delta to core and record the number below the line (denominator).

- If right and left little fingers are **a** or **t**, leave the final division blank.

Example: Figure C-3-15 on the next page shows a classification formula in which the final is 7: the right little finger's ridge count is 7, so it is written above the line.

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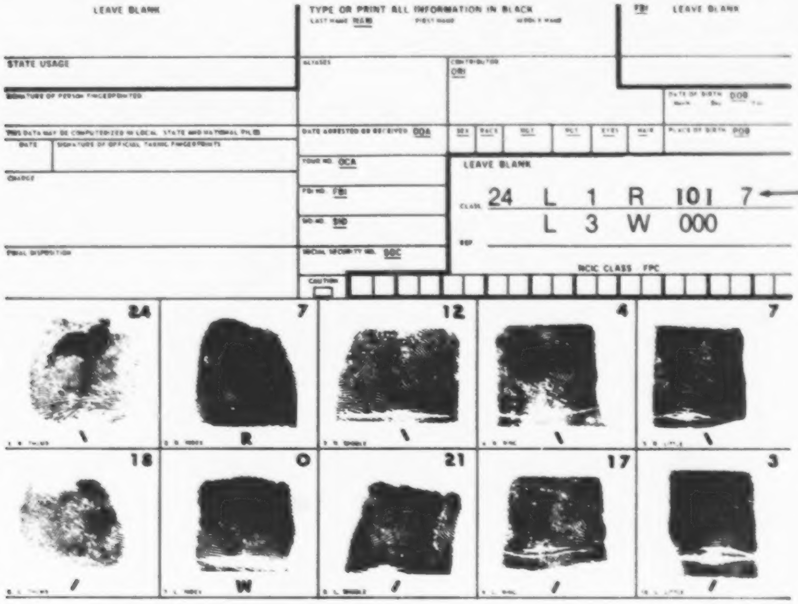


LEAVE BLANK

TYPE OR PRINT ALL INFORMATION IN BLACK

FBI LEAVE BLANK

STATE USAGE

LEAVE BLANK

CLASS 24 L 1 R 101 7

L 3 W 000

NCIC CLASS FPC

CAUTION

24
7
12
4
7
\
R
\
\
\
18
O
21
17
3
/
W
/
/
/

Final

Figure C-3-15
Final Division of Classification

Summary

After you have taken a set of fingerprints and recorded their types, you should record the classification formula. The basic formula you have just studied is composed of **six** basic divisions in the following sequence: key, major, primary, secondary, subsecondary, and final. The first and last divisions, key and final, have only one number above the classification line (numerator) while others have both numerator and denominator. However, if you cannot find the fingerprint patterns relevant to a particular division of classification, you should leave the spaces for that division blank.

The following outline summarizes the major elements of each division of classification.

1. **Key**
    a. concerns first loop, not counting little fingers
    b. ridge count of that loop is its numerical value
    c. has only a numerator

2. **Major**
    a. involves only both thumbs
    b. includes only whorls and loops
    c. for whorls, use whorl tracing symbols to indicate the value (**I, M, O**)
    d. for loops, convert ridge counts to letter symbols (**S, M, L**)
    e. use right thumb for numerator, left thumb for denominator
    f. if either thumb is a plain arch (**a**) or tented arch (**t**), leave space blank

3. **Primary**
    a. involves only whorls
    b. for **numerator,** add numerical value of the even-numbered finger blocks where whorls have appeared, plus one
    c. for **denominator**, add numerical value of the odd-numbered finger blocks where whorls have appeared, plus one
    d. only classification that uses even- and odd-numbered fingers for denominator and numerator; other classifications use right fingerprint for numerator and left for denominator

4. **Secondary**
    a. involves all fingers
    b. list symbols in same sequence as fingers
    c. use right fingerprints for numerator and left for denominator
    d. use capital letters for index fingers (if ulnar loops, use **U**)
    e. use only small letters for other fingers
    f. if small letters appear in a row, use number of occurrences (**2t** instead of **tt**, or **3a** instead of **aaa**)
    g. use dash (-) for whorls (**W**) and loops (**/** or \) occurring between small letters and between index and small letter

5. **Subsecondary**
    a. involves only three middle fingers of each hand
    b. involves only whorls and loops
    c. if whorls, use whorl tracing symbols for value
    d. if loops, convert ridge counts to letter symbols (**I, O**)
    e. use right fingerprint for numerator and left for denominator

6. **Final**
    a. involves either little finger but not both
    b. involves only loops and whorls
    c. if loops, use ridge counts for value
    d. if whorls, count ridges from left delta to core and use number of ridge counts for final
    e. only appears as numerator

Figure C-3-16 on the next page shows a set of fingerprints with the following classification formula:

$$\begin{array}{cccccc} 2 & M & 28 & W & MOI & 5 \\ \hline & S & 26 & U & IMM & \end{array}$$

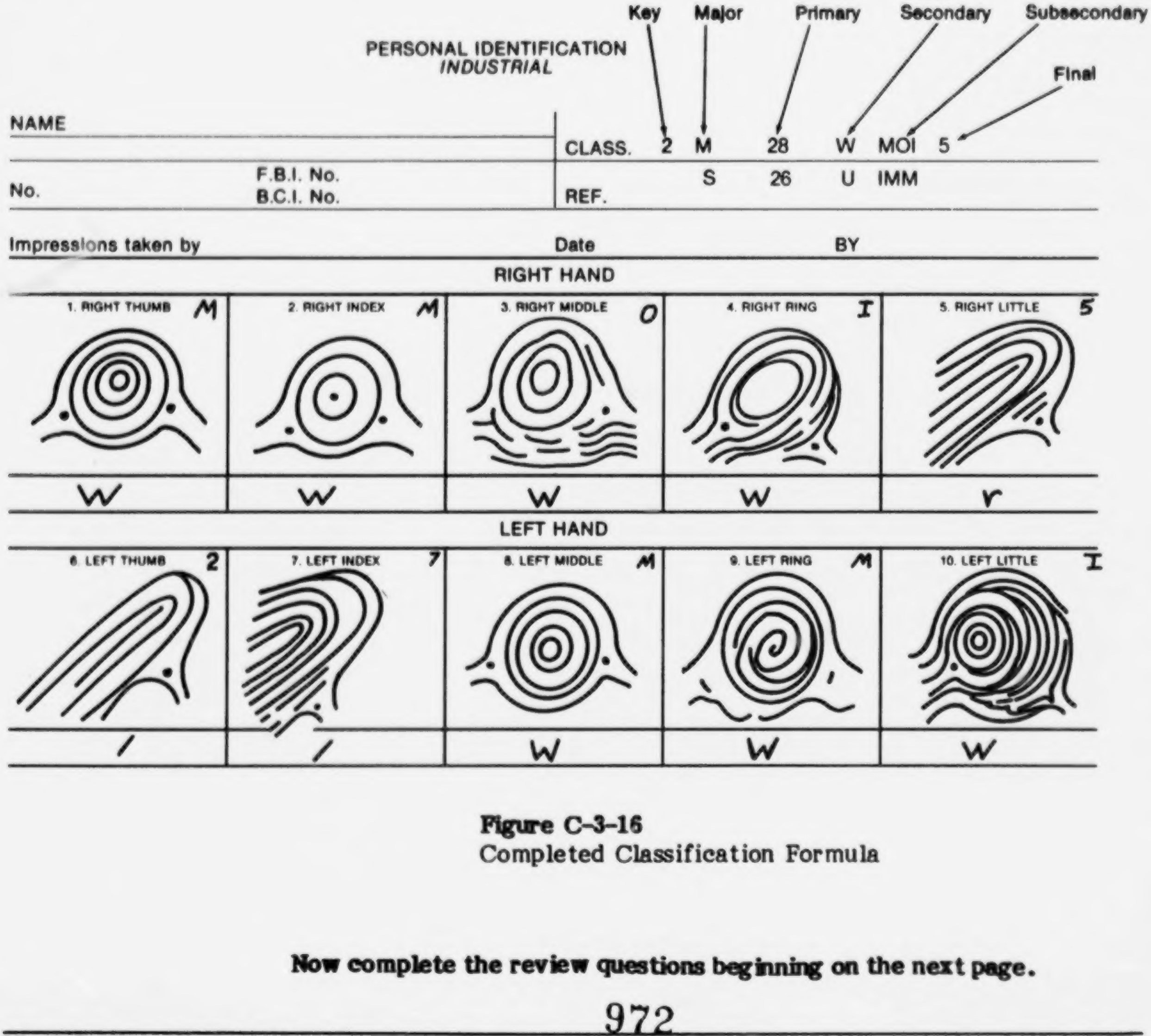
The explanation for this formula is as follows:

Key:	The first loop is the left thumb, and its ridge count is 2.
Major:	The right thumb is a whorl, and its tracing is **M.** The left thumb is a loop, and its ridge count 2 is converted to **S.**
Primary:	Numerator: Four even-numbered fingers are whorls (right index, right ring, left middle, and left little fingers). The numerator value is 28 (16 + 8 + 2 + 1 + 1). Denominator: Three odd-numbered fingers are whorls (right thumb, right middle, and left ring fingers). Therefore, the value is 26 (16 + 8 + 1 + 1).

Secondary: Right-hand index—It is a whorl, so write **W** above the line.
Left-hand index—It is an ulnar loop, so write **U** below the line.
Small letter group—No fingerprint in this set is identified as belonging to the small letter group. Leave this space blank.

Subsecondary: Right-hand fingers 2, 3, and 4 are whorls with tracings **M, O,** and **I,** respectively, carried up above the line. The left index is a loop with a ridge count of 7, written as an **I** below the line. Left-hand fingers 8 and 9 are whorls with **M** tracings, below the line in respective positions.

Final: The right little finger is a loop with a ridge count of 5.



PERSONAL IDENTIFICATION
INDUSTRIAL

NAME
CLASS. 2 M 28 W MOI 5
No. F.B.I. No. B.C.I. No.
REF. S 26 U IMM

Impressions taken by Date BY

RIGHT HAND

1. RIGHT THUMB M	2. RIGHT INDEX M	3. RIGHT MIDDLE O	4. RIGHT RING I	5. RIGHT LITTLE 5
W	W	W	W	r

LEFT HAND

6. LEFT THUMB 2	7. LEFT INDEX 7	8. LEFT MIDDLE M	9. LEFT RING M	10. LEFT LITTLE I
/	/	W	W	W

Figure C-3-16
Completed Classification Formula

Now complete the review questions beginning on the next page.

Review Questions (VI: C-3)

Write your answers on a separate sheet of paper.

1. List the **six** divisions of a classification formula in the order they should appear on the fingerprint card.

For questions 2-9, write the letter of the correct answer on your paper.

2. Which **two** of the following statements are true concerning the primary classification?

   a. It involves only whorl patterns.
   b. It involves only loop patterns.
   c. It is expressed by numerical values.
   d. It is expressed by letter designations.

3. Which of the following involves only thumb impressions?

   a. primary classification
   b. final classification
   c. major classification
   d. secondary classification

4. Which fingerprint patterns does the major classification involve?

   a. loop and whorl
   b. loop and tented arch
   c. radial loop and plain arch
   d. plain whorl and plain arch

5. The primary classification is indicated by:

   a. a letter value only.
   b. a numerical value only.
   c. both letter and numerical values.
   d. diagonal lines.

6. The secondary classification involves:

   a. all ten fingers.
   b. the thumbs only.
   c. the indexes only.
   d. the three middle fingers of both hands (six fingers) only.

7. The subsecondary classification involves:

   a. all ten fingers.
   b. the thumbs only.
   c. the index fingers only.
   d. the three middle fingers of both hands (six fingers) only.

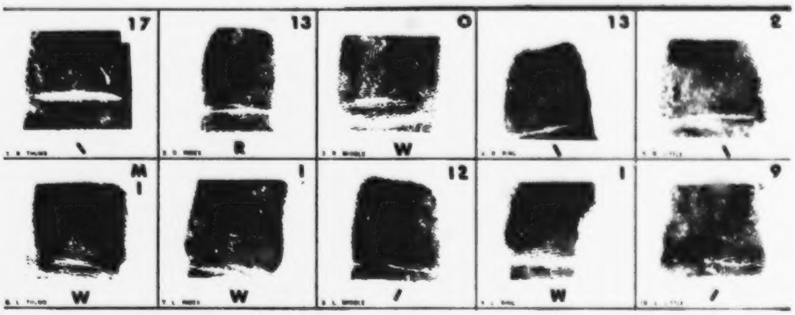
8. The key division of classification deals with:

   a. the right thumb only when it is an ulnar loop pattern.
   b. the right little finger only when it is a loop or whorl pattern.
   c. little fingers when they are loop or whorl patterns.
   d. the loop pattern fingerprint appearing first on the fingerprint card, excluding the little fingers.

9. The final division of classification deals with:

   a. the thumbs when they are loop or whorl patterns.
   b. the little fingers when they are loop or whorl patterns.
   c. the loop pattern fingerprint appearing first on the fingerprint card, excluding the little fingers.
   d. the left little finger, last fingerprint on the card, when it is a loop pattern only.

Use the following illustration to answer questions 10–15.



10. What is the value for the **key** in the classification of this set of fingerprints?

11. What is the value for the **major** classification?

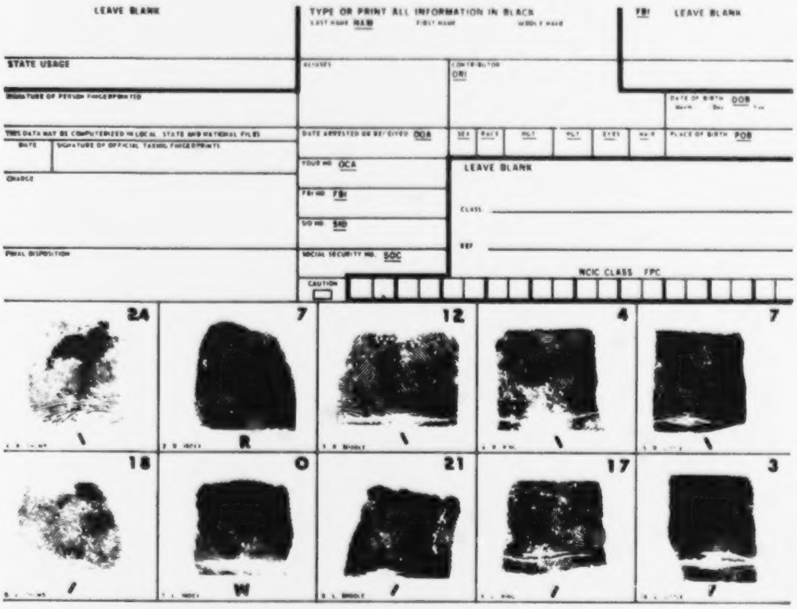
12. What is the value for the **secondary** classification?

13. What is the value for the **subsecondary** classification?

14. What is the value for the **final** classification?

15. What is the value for the **primary** classification?

16. Record the entire classification formula of the following fingerprint card in the correct place.



LEAVE BLANK

TYPE OR PRINT ALL INFORMATION IN BLACK

LAST NAME NAM FIRST NAME MIDDLE NAME

FBI LEAVE BLANK

STATE USAGE

ALIASES

CONTRIBUTOR ORI

SIGNATURE OF PERSON FINGERPRINTED

DATE OF BIRTH DOB Month Day Year

THIS DATA MAY BE COMPUTERIZED IN LOCAL, STATE AND NATIONAL FILES

DATE SIGNATURE OF OFFICIAL TAKING FINGERPRINTS

DATE ARRESTED OR RECEIVED DOA

SEX RACE HGT WGT EYES HAIR

PLACE OF BIRTH POB

YOUR NO. OCA

CHARGE

FBI NO. FBI

LEAVE BLANK

CLASS

SID NO. SID

REF

FINAL DISPOSITION

SOCIAL SECURITY NO. SOC

NCIC CLASS FPC

CAUTION

Check your answers with the correct ones provided in the answer key. Then do the practical exercise on the next page.

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Practical Exercise (VI: C-3)

Determine and record the classification formula on the three fingerprint cards you have. Then check and discuss your work with your instructor.

If you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: C-3).

Ask your instructor for the pretest for this section (VI: C-4). After you complete the pretest, your instructor will let you know whether to study this section, to skip some part of it, or to take the posttest.

Introduction

In the previous sections, you have studied taking, identifying, and classifying inked (or rolled) fingerprint impressions. Another category of fingerprints is latent print impressions. The word "latent" means hidden or undeveloped. Since **most** prints left at a crime scene must be developed in order to be seen, they are called "latent prints." Latent prints are very important to criminal investigations since the investigators may be able to solve the crime and prosecute the criminal appropriately as a result of identifying these impressions.

At the crime scene, law enforcement officers and investigators search for evidence transferred from the person who commits the crime to the objects at the crime scene. This evidence can be soils, hair, fibers, stains, and fingerprints (latent or visible). When you search a crime scene for latent prints, you should (1) use a logical search pattern, (2) not contaminate the surface, (3) give priority to entry and exit points, and (4) use a strong light source. When you suspect a latent print on an object, you should take a photograph of it, then record all identifying data such as your name, time and location of the crime, type of crime, type of evidence (such as latent print), and send the evidence to the crime laboratory for developing. If you give the evidence to another person, you should obtain a receipt for it.

If you are working in the crime laboratory, when you receive the evidence you should identify it by all available data. If the evidence is a latent print, you should develop the print properly by applying proper methods of powdering, lifting, and transferring the print. In this section, you will learn how to powder, lift, and develop latent prints. You will also learn how to develop latent prints by using chemicals.

Objectives

Knowledge Objectives

Upon completion of this section, you should be able to do the following on a written test:

1. Describe a basic procedure for latent print search at a crime scene.
2. Define a latent print.
3. Categorize latent prints into examples of two types.
4. Describe the procedures for powdering, lifting, and transferring latent prints.
5. Describe the procedures for developing latent prints using chemicals.

Performance Objectives

Upon completion of this section, you should be able to do the following when given several objects which contain invisible latent prints. Develop the prints using both powder and chemicals. You will be evaluated on the following tasks. Your performance should be rated "A" (acceptable) on all the tasks.

Tasks:

1. Powder Method
   - a. Assemble all equipment.
   - b. Select appropriate color powder.
   - c. Clean the brush properly.
   - d. Apply the powder to the proper area.
   - e. Clean up the print.
   - f. Lift the print properly.
   - g. Transfer the print properly.
   - h. Record the identification data.
   - i. Complete the task in a proper amount of time.
   - j. Use appropriate equipment and supplies.

2. Chemical Method

   a. Select an item with a latent print on an absorbent surface.

   b. (1) For the iodine method, expose the latent print to iodine fumes, using fuming cabinet.

      (2) For the ninhydrin method, spray the item to be examined, and let it dry.

      (3) For the silver nitrate method, apply correct strength silver nitrate solution to the item, and expose it to a strong light source

   c. Photograph the developed print immediately.

   d. Handle the items with care.

   e. Use all three chemicals in proper sequence.

   f. Follow safety precautions.

   g. Perform the tasks in an acceptable amount of time.

A latent print is a print left on an object's surface by the person who touches the object (see Figure C-4-1).

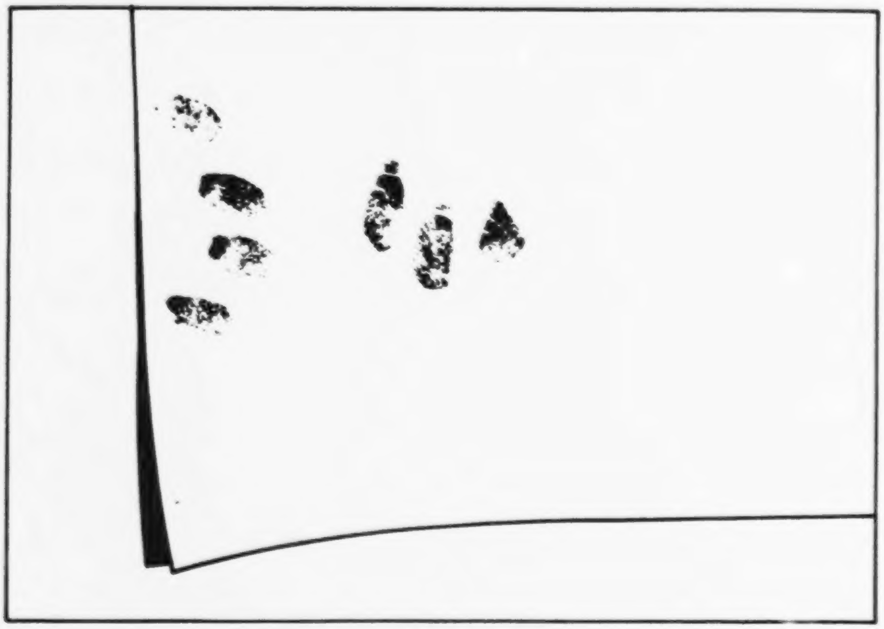

Figure C-4-1
Latent Print

A latent print is composed of body oils and perspiration produced through the pores of the fingers or palms. These body oils and perspiration include water, salt, amino acids, saliva, and other matter, some of which react to powder and chemicals. The powder and chemicals are used to lift and develop the impressions or prints.

There are two basic categories of latent prints: (1) prints which do **not** require further developing and (2) prints which must be developed. The prints which do **not** require powdering and lifting are the visible types of prints created after the suspect's hand has come in contact with blood, ink, paint, grease, or dirt, and transferred the print to an object's surface. Another type of print in this category is an impression made in a soft substance such as putty, clay, or fresh paint. You should first photograph these impressions and cover them with protective tape. Then the object which contains the prints must be transported to the crime laboratory. If the object is not transportable, you should spray it with shellac and prepare a cast of silicone rubber. The cast should then be identified and sent to the crime laboratory in place of the actual imprint.

The prints which require further developing are invisible prints on a hard, smooth surface. Development procedures for this type of latent print are described as follows.

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In order to develop a latent print, you will need to powder (or dust), lift, and transfer the print to a card or celluloid sheet. The following procedures are general guidelines for powdering, lifting, and transferring a latent print.

STEP 1: Make sure you have the following equipment for powdering and lifting:

- a jar of black fingerprint powder
- a jar of white or gray fingerprint powder
- camel's hair brush for powdering
- a magnifier of approximately five power
- a roll of lifting tape
- white cards (fingerprint cards) or celluloid sheets
- a camera

All the items listed above are usually included in a field kit.

Latent prints can often be made visible by using an **oblique** light source. You will also need a camera suitable for photographing latent prints since you should photograph the prints **before** lifting them in case the process destroys the prints.

STEP 2: Determine the nature of the print.

- If the impression is found in dust, grease, blood, or ink and does not need further developing, **do not** powder it because this will destroy the impression.
- If the impression is on an absorbent surface such as paper or cardboard, **do not** powder it. It should be developed with chemicals.
- If the impression is on nonabsorbent, hard, smooth surfaces, proceed with powdering (see the steps which follow).
- If the impression is on a wet object such as a beer can, allow the object to dry under **natural** conditions before powdering the print.

STEP 3: Select appropriate color print powder.

- Use white or gray powder if the surface is dark-colored.
- Use white or gray powder for prints on mirrors and metal-polished surfaces since these colors photograph more easily with less double image on mirrors.

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oblique: at a 45-degree angle.

- Use black powder if the surface is light-colored. The color of the powder and the color of the surface should contrast with each other to make the print visible against the background.

STEP 4: Clean the brush and separate the bristles by rolling the brush handle rapidly between the hands as shown in Figure C-4-2.

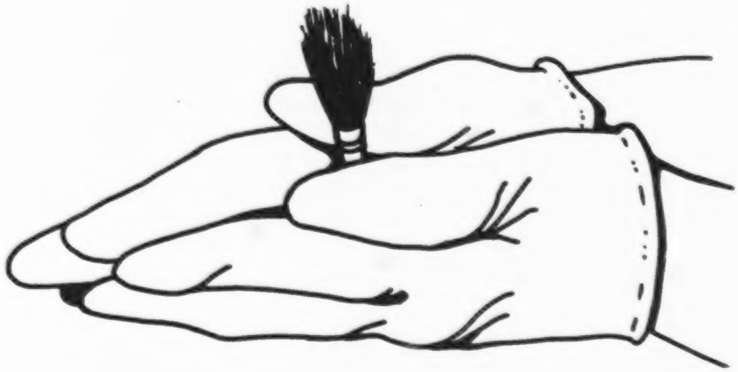

Figure C-4-2
Cleaning the Brush

STEP 5: Apply the powder to the area of the fingerprint to be examined.

- Place the brush in the powder. The brush should just touch the powder. Do not bury the brush in the powder.
- Brush the powder lightly and evenly over the surface. The powder will cling to grease or moisture in the ridges of a latent print, making the print visible against the background (see Figure C-4-3).

CAUTION: Do not use too much powder.

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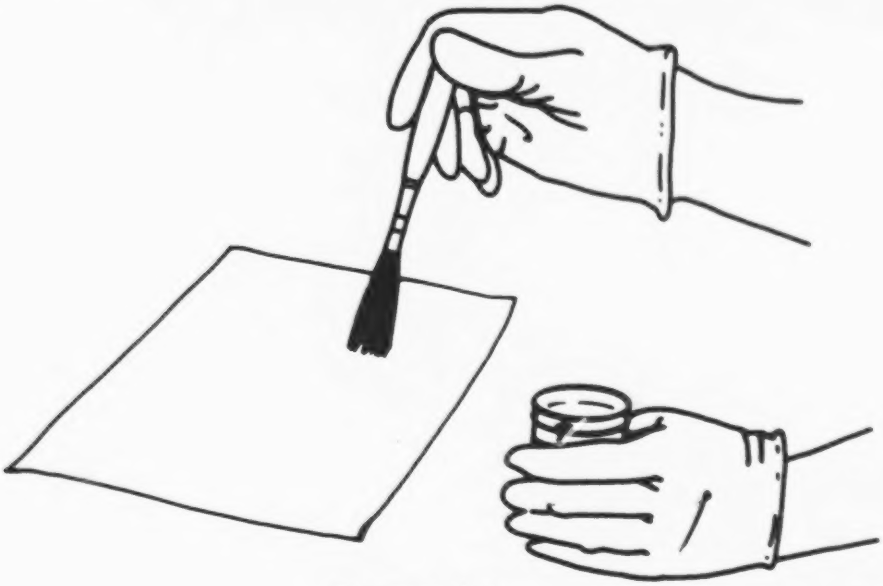

Figure C-4-3
Applying the Powder to the Surface

STEP 6: As the pattern of the ridges becomes visible, clean up the print by gently brushing with the flow of the ridges as shown in Figure C-4-4.

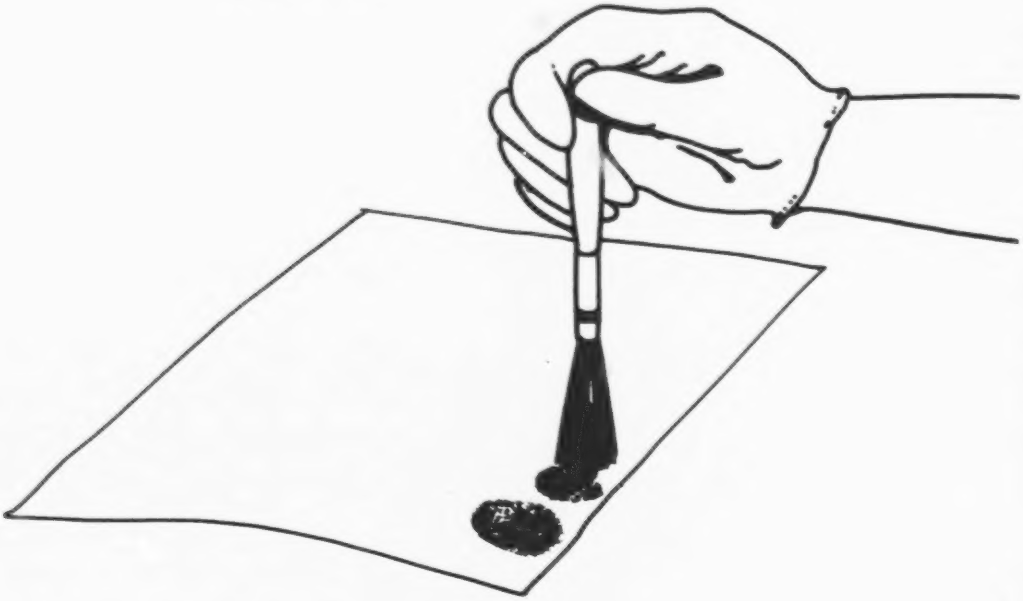

Figure C-4-4
Cleaning Up the Print

STEP 7: After all the details of the print are visible, remove the excess powder by gently brushing or blowing it away.

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STEP 8: Lift the latent print.

- Make sure the print has been photographed and the negative confirmed as good before starting to lift it.
- Pull out enough lifting tape from the roll (usually about six inches).
- Secure the loose end of the tape beside the print to be lifted and hold it there with the forefinger as shown in Figure C-4-5.

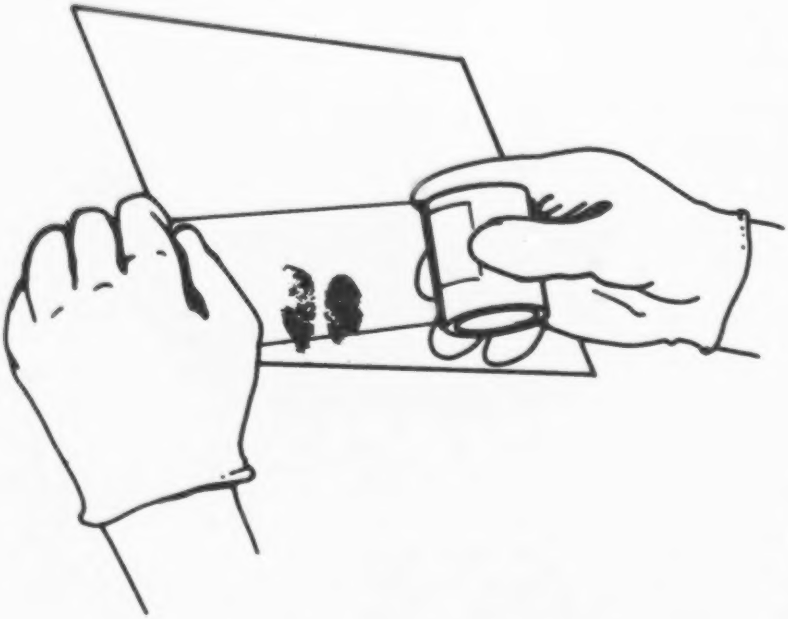

Figure C-4-5
Apply Lifting Tape to the Print

- Slide your thumb along the top of the tape, forcing it gently down over the print.

  CAUTION: Do not release the roll during this procedure.

- Smooth down the tape with care over the print to force out all the air bubbles (see Figure C-4-6 on the next page). Now, the print is protected. The powder is trapped between the tape and the surface of the object, and the air bubbles are removed.

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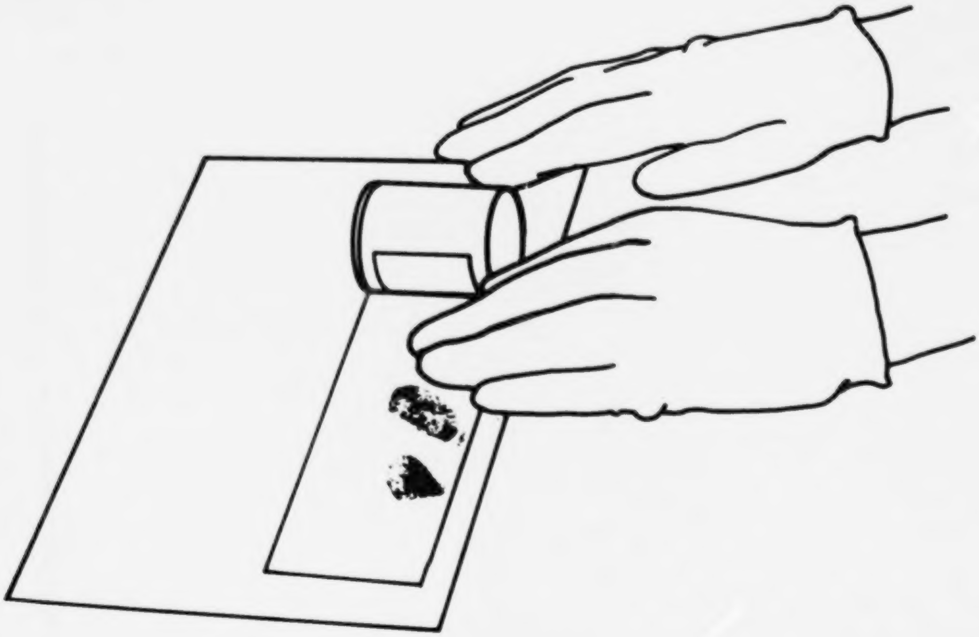

Figure C-4-6
Smoothing the Tape to Remove Air Bubbles

If the powdered latent print is larger than the width of the tape, place another strip of tape beside the first strip of tape. You may want to allow about 1/4 inch overlap between the two strips of tape.

Commercial rubber lifting tapes are available in various sizes of black and white, but in this section you will be using transparent tape with a durable adhesive surface to learn the basics of lifting prints. Ordinary cellophane tape is **not** suitable due to the deterioration or drying of the adhesive.

STEP 9: Once the tape has been secured, transfer the print to a fingerprint card with contrasting background or, preferably, to a frosted celluloid sheet. The celluloid sheet is preferred because it can be used directly to produce a photographic print. It also provides more resolution of the details in the print.

- Pull the tape slowly from the print surface. Pull up on the roll end.
- Then place the tape on a fingerprint card or celluloid sheet in the same manner as you placed the tape over the latent print on the object (see Figure C-4-7 on the following page).

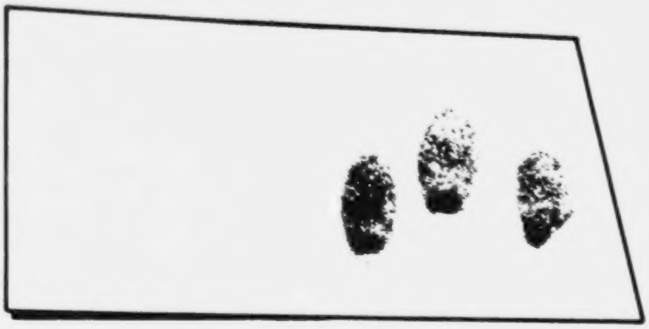

Figure C-4-7
Lifted Fingerprint on a Celluloid Sheet

NOTE: If the surface can be destroyed by removing the tape, do not remove the tape. Submit the entire object to the crime laboratory for examination.

STEP 10: When the lifted print is secured to the card or sheet, sever the tape from the roll and fold up the loose end.

STEP 11: In the space on the fingerprint card, write the date, case number, your initials (as crime scene search technician or officer), location of the crime scene, type of object containing the print, and other identification of the exact point at the scene from which the print was obtained.

This process is required due to the chain of custody and court admissibility. The technician should keep the original intact because he or she will testify to its authenticity and location when it is offered as a court exhibit. Comparisons and other processes should be made with copies if carried out by someone other than the original technician.

Developing Latent Prints with Chemicals

Finger impressions on absorbent surfaces such as paper, cardboard, or unpainted wood more often respond better to chemical treatment than to the use of powders. Powders cannot be removed from such surfaces. Perspiration and oils from the ridges are absorbed into the material, and the result is little or no contrast between the ridges and the valleys of the impression when powder is applied.

When you find latent prints on an absorbent, porous, smooth surface such as paper, cardboard, or unpainted wood, you should place the item in a container with tweezers, if small enough. Then seal the container, mark it with all required data for identification, mark "TO BE PROCESSED FOR LATENT PRINTS," and send it to a crime laboratory. Fingerprint specialists in a crime laboratory will then develop the latent prints using chemicals. Of the chemical methods available, iodine, ninhydrin, and silver nitrate are the most common.

Each of these chemicals reacts with a different substance which may be present in the latent print. Any one or all three of the methods may be used on most articles. When all three methods must be used on the same surface, they must follow this sequence: (1) iodine, (2) ninhydrin, and (3) silver nitrate. If the iodine method fails, at least it does not ruin the specimen for the other methods. All specimens which are treated should be handled with tweezers or tongs.

Iodine Method

The iodine method of developing latent prints on an absorbent surface works in this way. Iodine crystals vaporize when they are heated slightly. These vapors are absorbed by organic material (fatty or oily matter) present in latent prints. When this material absorbs the vapors, the ridges of prints become visible. Since this absorbed vapor will fade rapidly, you must photograph the prints immediately or transfer the image of the prints to a silver sheet. To develop latent prints using iodine crystals, use the following procedures as a general guideline:

Method 1

STEP 1: Place the iodine crystals in a closed glass container along with the object (paper or cardboard) to be examined for latent prints.

STEP 2: Heat the glass container gradually and carefully with a heat source such as an alcohol burner, Bunsen burner, or hot plate.

STEP 3: Observe the latent print in the glass container. The print will appear brown.

STEP 4: Take a photograph of the developed print immediately.

Method 2

STEP 1: Place the object to be examined for latent prints near the top of a heat source such as a fuming cabinet. Suspend the object by clips.

STEP 2: Place some iodine crystals in a glass container.

STEP 3: Place a burner under the glass container. The fumes will begin to appear.

CAUTION: Do not inhale the fumes; they are corrosive.

STEP 4: As soon as the fumes begin to appear, remove the burner.

STEP 5: Observe the development of the print through the glass. If necessary, adjust the burner to increase or decrease the fumes.

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STEP 6: Immediately after the print becomes visible, photograph it.

NOTE: You can also use an iodine fuming gun to concentrate the fumes on a surface which contains the latent prints. The gun is a device made from a glass tube through which you breathe and the warmth of the breath activates the iodine crystals in the tube (see Figure C-4-8). The fumes come out through the end of the tube and can be directed toward the surface to be developed (see Figure C-4-9).

CAUTION: Make sure you have a good ventilation system in the room in which you are working.

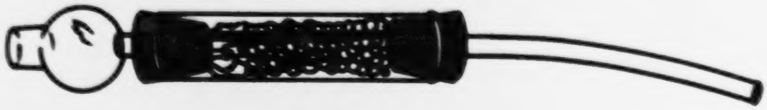

Figure C-4-8
Iodine Fuming Gun

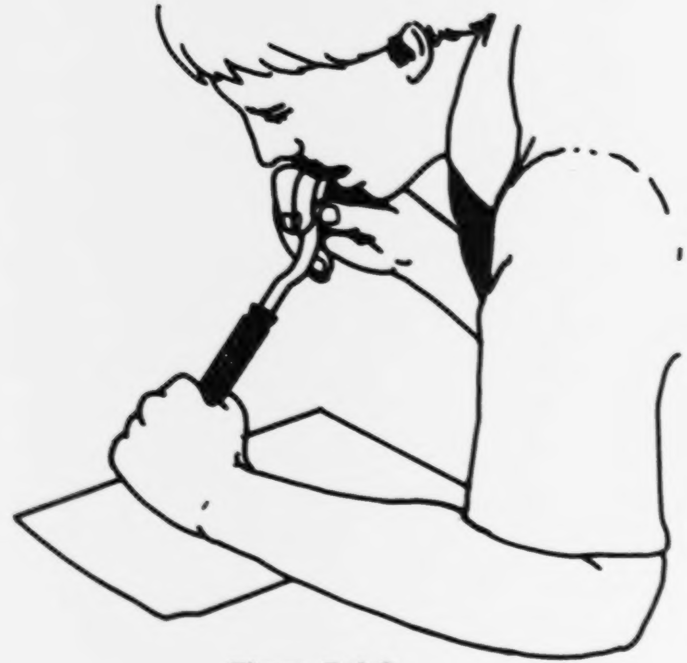

Figure C-4-9
Directing Fumes upon the Surface

Ninhydrin Method

Ninhydrin is a chemical which reacts with amino acids (proteins) to give a characteristic color. This method is good for developing old latent prints, some as old as several years. This method can result in permanent staining on the surface, so you should give some thought to the use

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of this method on valuable documents or items. However, most stains can be removed by immersion in a diluted solution of ammonium hydroxide and rinsing with running water.

Ninhydrin is available as a spray or in a white powder form. If you have powder, you can make a solution by dissolving two grams of ninhydrin powder to 32 ounces of acetone. The following procedures are a general guideline.

STEP 1: Spray the surface or document on which the latent print is found with a ninhydrin spray from a distance of eight to ten inches (see Figure C-4-10).

STEP 2: Hold the object or document near a source of heat, or let the object dry by itself for about 24 hours.

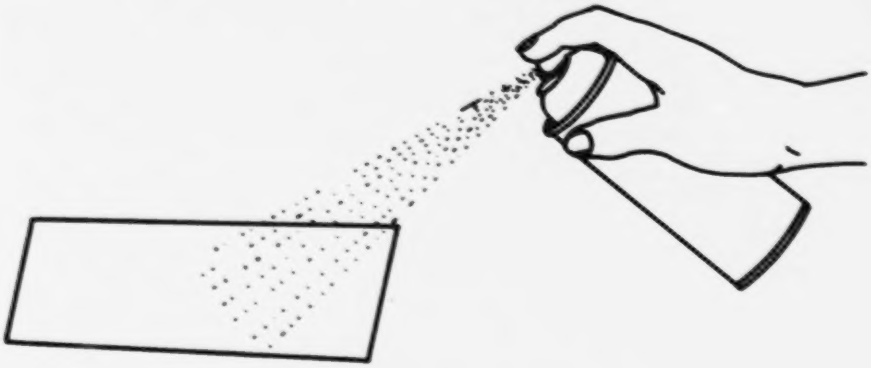

Figure C-4-10
Developing Latent Prints with Ninhydrin Method

The period of heating varies with the nature of the object or document and the amount of solution penetrating into the latent prints.

Sometimes the latent print develops better over a period of several days at room temperature.

STEP 3: Observe the development of the print.

STEP 4: When the print becomes visible (reddish purple or reddish pink), photograph it.

STEP 5: If the print does **not** appear, spray the object again, let it dry, and heat it with a steam iron. Hold the steam iron approximately one-half to one inch above the surface of the object, allowing only the steam to make contact with the evidence (see Figure C-4-11 on the next page).

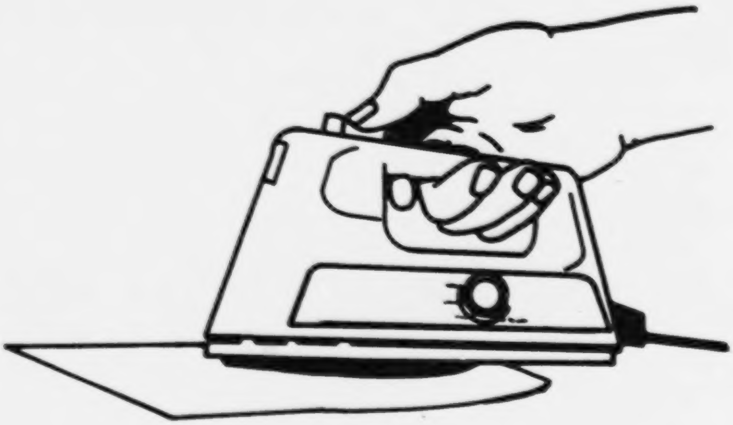

Figure C-4-11
Heating the Object with a Steam Iron

The use of ninhydrin sometimes prevents the use of iodine fumes afterward. However, it does not usually prevent the use of silver nitrate, although the use of ninhydrin **after** the use of silver nitrate usually fails. Therefore, when you use all three methods, use the iodine method first, the ninhydrin method second, and the silver nitrate method third.

CAUTION: (1) Acetone, which is the carrying agent of ninhydrin, is extremely flammable and requires special care when you use it. Also, the fumes will irritate the respiratory passage if you inhale them.

(2) Ninhydrin is suspected to be a carcinogen when the fumes are inhaled in heavy concentrations.

(3) Make sure the room has a good ventilation system.

Silver Nitrate Method

The silver nitrate method works as follows: When a silver nitrate solution is applied to a latent impression, the silver nitrate reacts to the sodium chloride (salt) in the latent prints. The combined silver chloride is very sensitive to light. When exposed to light, the silver chloride is reduced to metallic silver, which appears dark brown or black. Apply a silver nitrate solution to the object to be examined for latent prints, expose the object to light, and observe the appearance of ridges in a brown color. The following procedures are a general guide.

STEP 1: Make a silver nitrate solution.

- If the object is paper, such as a document, dissolve one and a half ounces of silver nitrate crystals in one gallon of **distilled** water for a one percent solution. This concentration is usually effective.

- If the object is wood or cardboard, dissolve two and two-thirds ounces of silver nitrate crystals in one gallon of distilled water. A little stronger solution is required for this type of absorbent material to show latent impressions.

CAUTION: (1) Do **not** use tap water; it contains incompatible chemicals.

(2) Wear rubber gloves and an apron to prevent staining. Do **not** take silver nitrate internally; it is poisonous.

(3) Make sure you have a good ventilation system in the room.

STEP 2: Apply the solution to the object.

- For paper, immerse the paper in a tray solution. When the paper is completely moistened, place it between blotters to remove the excess solution.

- For wood or cardboard, apply the solution to the object using a paint brush or spray the solution with an atomizer.

STEP 3: When the object is reasonably dry, expose it to a light source such as direct sunlight, a carbon arc light, a 1000-watt bulb, a photoflood bulb, or an ultraviolet light.

STEP 4: When the latent print appears brown and the ridge detail is clear, remove the light source; otherwise, the entire paper or surface will darken.

STEP 5: Photograph the print **immediately**.

STEP 6: Store the print as you would photographic enlargement paper. The silvering process has created essentially the same sort of light-sensitive surface.

NOTE: It is recommended that you also experiment with the use of magnetic fingerprint powder to develop latent prints. To use this fine dust of iron particles, use a special applicator which can be energized to pick up the fine particles of the powder on its tip. Then use it as you would a fingerprint brush. Since this applicator does not have bristles, it will not ruin the edges of the print.

Summary

1. Powder Method

    a. For hard, smooth surfaces:
        (1) use small amount of powder on brush
        (2) brush with contour of ridges
        (3) use gray powder on dark surface
        (4) use black powder on light surface
        (5) photograph all developed latent impressions before lifting.

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b. To lift and transfer impressions:
   (1) press tape firmly onto powdered impression
   (2) avoid air bubbles
   (3) pull tape slowly from powdered impression
   (4) place tape on contrasting background card or celluloid sheet
   (5) place identifying data on card or celluloid sheet.

2. Chemical Methods

a. Types of surface:
   (1) paper
   (2) cardboard
   (3) unpainted wood
   (4) other absorbent surface

b. Sequence of use:
   (1) iodine (reacts with oils)
   (2) ninhydrin (reacts with amino acids)
   (3) silver nitrate (reacts with salts)

c. Types of method:
   (1) Iodine method
      - reacts with fatty or oily matter
      - expose latent prints to iodine fumes
      - use fuming cabinet in the lab
      - photograph immediately when developed
   (2) Ninhydrin method
      - reacts with amino acids
      - spray document or item with fine spray
      - place document in laboratory oven at 200 degrees Fahrenheit
      - handle specimen with tongs, gloves, etc.
      - avoid inhaling fumes and using the solution near flames
   (3) Silver nitrate method
      - reacts with sodium chloride (salt)
      - use one percent solution on paper
        use two percent solution on wood, cardboard, etc.
      - apply through tray wash, spray, or brush
      - expose to strong light source
      - photograph developed prints immediately
      - wear gloves and an apron to prevent staining

Now complete the review questions beginning on the next page.

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Review Questions (VI: C-4)

Write your answers on a separate sheet of paper.

For all but question 3, write the letter(s) of your answer choice.

1. Which **three** of the following are recommended procedures in searching a crime scene for latent prints?
    - a. Do not touch the surface where you suspect the fingerprint is located.
    - b. Collect latent prints from wall search area.
    - c. Give priority to entry and exit points.
    - d. Use a strong light source.
2. What is a latent print?
    - a. a fingerprint taken after the suspect is convicted of the crime
    - b. a fingerprint left on an object by the person who touched it
    - c. left-hand fingerprints taken simultaneously
    - d. an ink print on a booking form
3. A latent print is composed of ____________________ and ____________________ which include water, salt, and amino acids.
4. Which **two** of the following latent prints require further developing?
    - a. a fingerprint on a fine china cabinet
    - b. a fingerprint made on a cabinet door five minutes after it had been painted
    - c. fingerprints made on a white envelope by a person who touched cooking oil two minutes before
    - d. a fingerprint on a letter found at the crime scene
5. To powder and lift a latent print, which **three** of the following equipment and supplies do you need?
    - a. jars of powder (black and white)
    - b. powdering brush
    - c. roll of lifting tape
    - d. white towels
6. Which **two** of the following are recommended procedures in using the powder method to develop latent prints?
    - a. Use lots of powder.
    - b. Brush with the contour of the ridges.
    - c. Use powder that contrasts with the background and photograph the print before lifting.
    - d. Use powder on absorbent surfaces.

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7. Which **three** of the following are recommended procedures for lifting and transferring a powdered latent impression?

   a. Rub the powdered impression gently to remove the excess powder.
   b. Press the lifting tape firmly onto the powdered impression.
   c. Pull the tape slowly from the powdered impression.
   d. Place the tape on a card or celluloid of contrasting background.

8. Chemical methods are most effective on which **two** of the following surfaces?

   a. hard polished surface
   b. paper
   c. clay
   d. unpainted wood

9. Which of the following gives the correct sequence for using chemicals in attempts to develop latent impressions?

   a. iodine, ninhydrin, silver nitrate
   b. iodine, silver nitrate, ninhydrin
   c. ninhydrin, iodine, silver nitrate
   d. silver nitrate, ninhydrin, iodine

10. Which of the following is true about the iodine method of latent development?

    a. Iodine reacts with sodium chloride.
    b. Iodine reacts with fatty or oily matter.
    c. Iodine is painted on the object to reveal the print.
    d. When iodine is used, the image is permanent.

11. A crime laboratory technician has to develop a two-year-old latent print on a document. Which method will most likely develop the latent print?

    a. iodine crystals
    b. silver nitrate
    c. ninhydrin
    d. powder

12. Which of the following is true about the ninhydrin method of latent development?

    a. Ninhydrin reacts with fatty or oily matter.
    b. Ninhydrin reacts with amino acids.
    c. The ninhydrin solution should be brushed on the object.
    d. The image appears as soon as the solution is applied.

13. Which of the following is true about the silver nitrate method of latent development?

    a. Mix silver nitrate crystals with tap water.
    b. Silver nitrate reacts with fat and oil.
    c. Expose the object which absorbs the silver nitrate to a strong light.
    d. Brush the contour of the ridges after the print is developed.

14. When you use the silver nitrate method, in which color would you expect the print to appear?

    a. brown
    b. silver
    c. white
    d. yellow

15. Two students are discussing photographing the developed latent print.

    Student A says that you have to photograph the print immediately after it is developed whether you use the powder method or any chemical method. Student B says that you should photograph the print when you use a chemical method but not when you use the powder method.

    Who is right?

    a. student A only
    b. student B only
    c. both students A and B
    d. neither student A nor student B

Check your answers with the correct ones provided in the answer key. Then do the practical exercise on the next page.

1. Develop **three** cards of latent prints using the powder method.
   a. Use any of the various types and colors of powder.
   b. Try to use the magnetic brush technique on one card.
2. Develop **six** latent prints using chemical methods, two prints for each method.
   a. Produce the original and a photograph of the latent impression using the iodine fuming method.
   b. Produce the original and a photograph of the latent impression using the silver nitrate method.
   c. Produce the original and a photograph of the latent impression using the ninhydrin method.
   d. Produce the photograph of a plastic impression using oblique lighting to show detail.
3. Check your work with your instructor.

If you feel confident that you have achieved the objectives for this section, ask your instructor for the posttest (VI: C-4).

State of Florida
Department of Education
Ralph D. Turlington, Commissioner of Education
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